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“ In this great land  
called America, no child  
will be left behind.”

—President George W. Bush

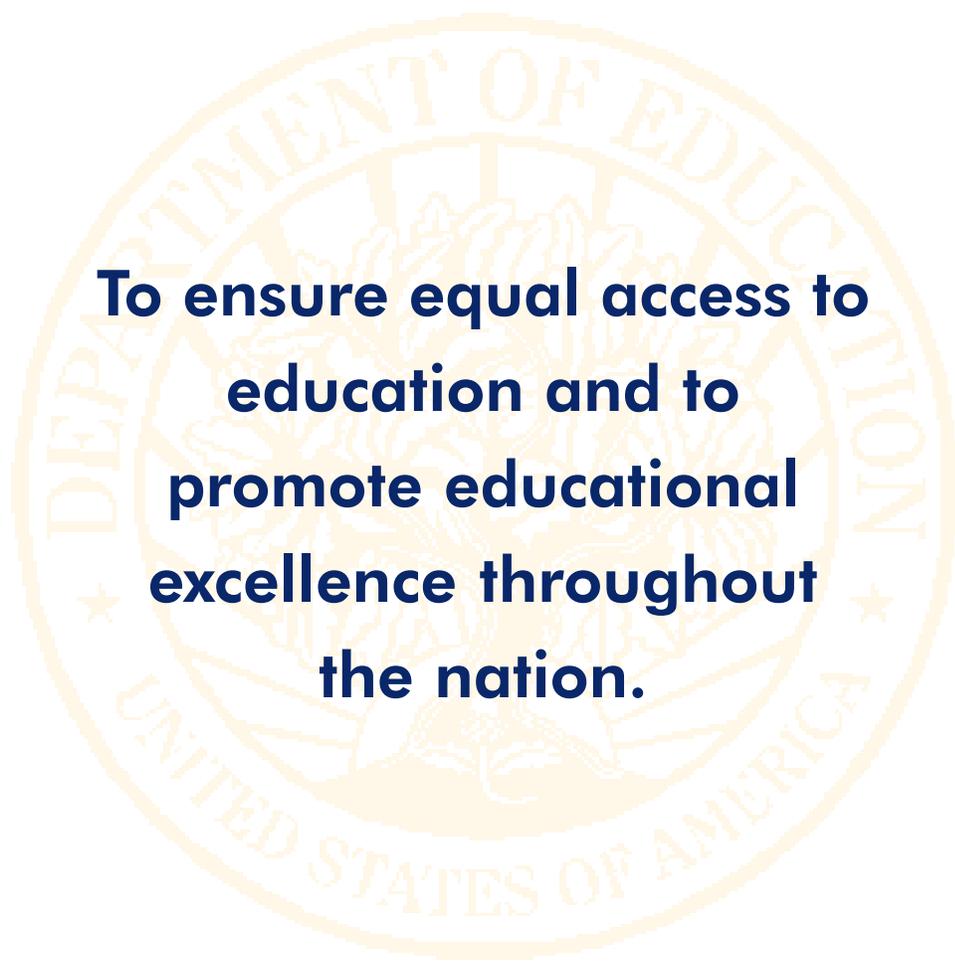
The seal of the U.S. Department of Education is a large, circular emblem in the center of the page. It features a central figure holding a torch and a book, surrounded by the text "DEPARTMENT OF EDUCATION" at the top and "UNITED STATES OF AMERICA" at the bottom, separated by two stars. The seal is rendered in a light yellow color.

**U.S. Department of Education**

# **STRATEGIC PLAN 2002 - 2007**

Washington, DC,  
March 7, 2002





**To ensure equal access to  
education and to  
promote educational  
excellence throughout  
the nation.**

# Mission

# Department of Education Strategic Goals

## Goal 1

# 1

**Create  
a Culture  
of  
Achievement**

Create a culture of achievement throughout the nation's education system by effectively implementing the president's plan, *No Child Left Behind*, and by basing all federal education programs on its principles: accountability, flexibility, expanded parental options and doing what works.

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## Goal 2

# 2

**Improve  
Student  
Achievement**

Improve achievement for all groups of students by putting reading first, expanding high quality mathematics and science teaching, reforming high schools, and boosting teacher and principal quality, thereby closing the achievement gap.

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## Goal 3

# 3

**Develop  
Safe Schools  
and Strong  
Character**

Establish safe, disciplined, and drug-free educational environments that foster the development of good character and citizenship.

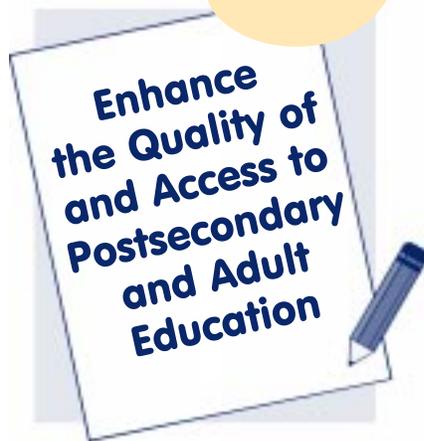
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# Goal 4



Strengthen the quality of educational research.

# Goal 5



Increase opportunities for students and the effectiveness of institutions.

# Goal 6



Create a culture of accountability throughout the Department of Education.

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# Secretary's Statement

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This is not just another strategic plan. Education is not just another policy area. 2002 is not just another year.

The nation is at a special point in its history. Under attack from those who wish to destroy democracy and civilization, it has responded with resolve, strength, and compassion.

In the midst of some of the greatest challenges it has ever faced, the nation's leaders have kept a focus on what matters most: our children. They worked together in a bipartisan spirit and passed the most fundamental reform of federal education policy in over 35 years: the *No Child Left Behind Act*.

Now it is up to the U.S. Department of Education—in partnership with states, local communities, parents, teachers, and others—to implement this law, and to ensure that its principles guide everything we do. This strategic plan provides the roadmap.

This plan has been in development for over two years. Its vision was first communicated in September of 1999, when then-Governor George W. Bush started discussing his plans to improve the quality of America's education system. This vision was further refined and communicated during the course of the presidential campaign and became even more concrete when President Bush issued his landmark education plan, *No Child Left Behind*. The development of this strategic plan continued apace at the Department as our leadership and staff set about identifying and attacking longstanding management problems that had challenged this agency for years.

In the midst of this process the nation was shocked by the attacks of September 11, 2001. That day brought a great amount of pain and suffering to our people, especially to our friends and neighbors who lost loved ones. Yet it also awoke a dormant spirit of resolve, of patriotism, and of community. Our nation was deeply wounded by the horrendous attacks, yet, as the president reminds us, we have arisen stronger.

What does September 11 mean for education? What does it mean for this Department's strategic direction?

September 11 made education more important than ever. It made the achievement of these goals—to increase student achievement, to instill sound character and citizenship in our youth, to improve the quality of educational research, and more—more urgent than ever. And it reminded all of us parents and educators that, above all else, we must ensure the safety of our children.

Ever since *A Nation at Risk* was published almost 20 years ago, we have acknowledged the importance of our education system to our economy. Now we acknowledge its importance to our national security, and to the strength of our democracy itself.

Congress understands the importance of education, and in late December passed by an overwhelming margin the president's plan for improving elementary and secondary education in America. The *No Child Left Behind Act* and its principles for reform—accountability, flexibility, expanded parental options and doing what works—are embedded throughout this strategic plan, and will be our North Star in the years to come. Those same principles will be embedded in future legislative proposals, in areas including special education, vocational education and higher education.



This plan is a promise to our children and their parents and to our young people seeking higher education. We promise to improve the quality of education and to raise our expectations of what students can accomplish. We promise to leave no student behind. And in return, this nation may ask our young people to use their skills and knowledge to defend our citizens, to contribute to our economy, to rebuild our communities and to strengthen our democracy.

We take responsibility for making good on these promises—the goals and objectives in this strategic plan. But we also know that we cannot achieve these ends alone. Our partners at the state and local level; educators in schools and colleges and literacy programs; parents and even students themselves all have essential roles to play, roles just as important (if not more important) than our role.

But make no mistake. More than ever, education is a national priority, and this Department of Education will make it a source of national pride. That is my personal promise to you.

Rod Paige

# Introduction



## No Child Left Behind

The passage of the *No Child Left Behind Act* marks the most significant shift in federal education policy in 35 years.

In signing the Act, President George W. Bush proclaimed, “Today begins a new era, a new time in public education in our country. As of this hour, America’s schools will be on a new path of reform, and a new path of results.”

About the Act, Secretary Rod Paige declared, “Reform is no longer about access or money. It is no longer about compliance or excuses. It is about improving student achievement by improving the quality of the education we offer American students.”

This Act calls for revolutionary change, change that is desperately needed because too many children are being left behind. Our system educates some of our children very well, and their success is a testament to many excellent teachers and administrators. We need to help our whole system identify, honor, and emulate these successes. But we cannot be satisfied with islands of excellence. Great public schools should be found in every city and in every neighborhood in America. No child should ever be written off because every child is important and every child can learn.

The *No Child Left Behind Act* demands progress and achievement. It embraces the principles supported by the president: accountability for results, flexibility and local control, expanded parental options and doing what works. Putting these principles into action will lead to a transformation of our K-12 educational system. These same principles will serve as the foundation for upcoming reforms in areas such as special education, vocational rehabilitation, higher education, and vocational education.

*No Child Left Behind* is more than a slogan. It is a promise that the Department intends to keep.

## Creating a Culture of Achievement

The ultimate objective of any educational enterprise is to improve student achievement so that individuals may contribute to our democracy, economy, and communities and live their own American dreams. Improving student achievement is hard. It requires meaningful change in the way educators do their work. It requires new structures, new tools and new knowledge. But more than anything, to boost student achievement, to leave no child behind, we must change the culture of the education system.

Our vision at the Department is to change the culture of education, from a culture of compliance and susceptibility to instructional fads to a culture of achievement, professionalism and results.

Changing a culture requires changing people's beliefs, values and assumptions. For example, we must change the belief that some children cannot learn challenging content, especially children from low-income or minority families. This belief is simply not true and must be defeated if we want to make progress.

We also must change the education system's values. For example, some educators continue to value ideology over evidence. This value has led many people to ignore research-based instructional practices in favor of deeply held beliefs. We must learn to value the scientific method over personal opinion or comfort with familiar practices.

Finally, we must change people's assumptions. For a long time, schools assumed that whether or not their students learned, business as usual would continue forever. If that assumption has not yet changed, it will soon.

The Department will lead a national campaign in the coming years to change the culture of the nation's education system. Through conferences, publications, face-to-face meetings and other communications, we will engage in discussions with state and local officials, educators, parents, business leaders, and others to create a culture of achievement. And we will ensure that federal education policy contributes to this cultural shift.

## Transforming the U.S. Department of Education

The *No Child Left Behind* Act is a mandate for the transformation of the Department. Not only does it embrace the president's education principles, it also embraces the spirit of the Government Performance and Results Act. It demands achievement in return for investment, and it requires a system of performance measurements throughout the educational enterprise. But in order to create a culture of achievement throughout the nation's education system, first we must create a culture of accountability within the Department itself.

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“Today begins a new era, a new time in public education in our country. As of this hour, America's schools will be on a new path of reform, and a new path of results.”

—President George W. Bush

Thankfully, the work of cultural change at the Department is already well under way. It started with the efforts of the secretary's Management Improvement Team, a strike-team of senior career managers who identified long-standing management challenges and developed the Department's Blueprint for Management Excellence. It was enhanced by the work of the secretary's Culture of Accountability Team, which interviewed employees and suggested ways to focus the whole agency on results. And it was greatly strengthened with the release of the President's Management Agenda (PMA), a comprehensive plan to improve the performance of the federal government.

The PMA identifies five government-wide goals: the strategic management of human capital; competitive sourcing; improved financial management; expanded e-government; and budget and performance integration. These goals have been integrated into the Department's strategic goal, "Establish Management Excellence," and, more important, into the management improvement efforts of the Department.

This strategic plan integrates the policy shifts embodied by *No Child Left Behind* with the management improvements of the President's Management Agenda. It acknowledges that policy and management efforts must work together for us to achieve our objectives. It is a stronger document because of the comments and suggestions of employees at the Department and those received from the public at large.

This strategic plan focuses on performance. It states in unambiguous language the measurable goals and objectives the Department intends to achieve. It creates the base of an accountability system for this agency, as it works to imbue accountability throughout the nation's education system.

This strategic plan will not be a trophy to hang on the wall. Rather, it will be an agent of change for the Department, setting the course for a sweeping transformation. Department employees will be held accountable for the implementation and success of this plan, from top to bottom. Senior officers will be placed on performance contracts linked to this plan and recognized for achieving results. A system has already been built to track action steps related to these strategic objectives, and to report and celebrate progress. And the Department's employee performance rating standards are being redesigned to link to this strategic plan and to instill a culture of accountability. The success of this plan depends largely on the

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““ *No Child Left Behind* is more than a slogan. It is a promise, a promise that the Department of Education intends to keep. ””

people who work at the Department. They will be held accountable for its implementation and rewarded for its success.

The Department will be a model of management excellence and accountability, both for other government agencies and for the nation's education system. This strategic plan will be the driving force toward that goal.

*Note: Three appendices to this Strategic Plan can be found on the Department's web site at <http://www.ed.gov/pubs/stratplan2002-07/index.html>. One appendix provides an overview of how the Department will collaborate with other federal agencies to achieve these goals; one describes how we consulted with Congress, stakeholders and the general public to develop this plan; and the third provides an overview of the Department's evaluation and data collection plan.*

# Goals & Objectives

## **1** Goal One: **Create a Culture of Achievement**

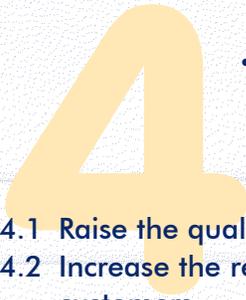
- 1.1 Link federal education funding to accountability for results.
- 1.2 Increase flexibility and local control.
- 1.3 Increase information and options for parents.
- 1.4 Encourage the use of scientifically based methods within federal education programs.

## **2** Goal Two: **Improve Student Achievement**

- 2.1 Ensure that all students read on grade level by the third grade.
- 2.2 Improve mathematics and science achievement for all students.
- 2.3 Improve the performance of all high school students.
- 2.4 Improve teacher and principal quality.

## **3** Goal Three: **Develop Safe Schools and Strong Character**

- 3.1 Ensure that our nation's schools are safe and drug-free and that students are free of alcohol, tobacco, and other drugs.
- 3.2 Promote strong character and citizenship among our nation's youth.



## **Goal Four: Transform Education into an Evidence-based Field**

- 4.1 Raise the quality of research funded or conducted by the Department.
- 4.2 Increase the relevance of our research in order to meet the needs of our customers.



## **Goal Five: Enhance the Quality of and Access to Postsecondary and Adult Education**

- 5.1 Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all.
- 5.2 Strengthen accountability of postsecondary institutions.
- 5.3 Establish effective funding mechanisms for postsecondary education.
- 5.4 Strengthen Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities.
- 5.5 Enhance the literacy and employment skills of American adults.



## **Goal Six: Establish Management Excellence**

- 6.1 Develop and maintain financial integrity and management and internal controls.
- 6.2 Improve the strategic management of the Department's human capital.
- 6.3 Manage information technology resources, using e-gov, to improve service for our customers and partners.
- 6.4 Modernize the Student Financial Assistance programs and reduce their high-risk status.
- 6.5 Achieve budget and performance integration to link funding decisions to results.
- 6.6 Leverage the contributions of community- and faith-based organizations to increase the effectiveness of Department programs.
- 6.7 By becoming a high performance, customer-focused organization, earn the President's Quality Award.

# 1 Strategic Goal One: Create a Culture of Achievement



Individuals and groups who work in social systems such as the American education system are strongly influenced by the system's culture. To improve such a system, the most potent strategy for change is cultural change. Therefore, through the effective implementation of the *No Child Left Behind* Act, we will create a culture characterized by *accountability for results, flexibility and local control, expanded parental options, and the use of instructional practices based on scientific research*; and we will embed these principles in programs and activities throughout the Department.

### **Objective 1.1**

Link federal education funding to accountability for results.

### **Objective 1.2**

Increase flexibility and local control.

### **Objective 1.3**

Increase information and options for parents.

### **Objective 1.4**

Encourage the use of scientifically based methods within federal education programs.

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“The purpose of prosperity is to make sure the American dream touches every willing heart. The purpose is to leave no one out—to leave no child behind.”

—President George W. Bush

# Objective 1.1

Link federal education funding to accountability for results

To create a culture of achievement, we must demonstrate that achievement counts, at the local, state and federal levels. We will work with our partners to make accountability for results the hallmark of our education system. In alignment with *No Child Left Behind*, states will develop systems that hold local schools accountable for results. State progress on a number of achievement indicators will be reported annually. Federal education programs will also be held accountable; those that do not demonstrate results in terms of student outcomes will be reformed or eliminated.

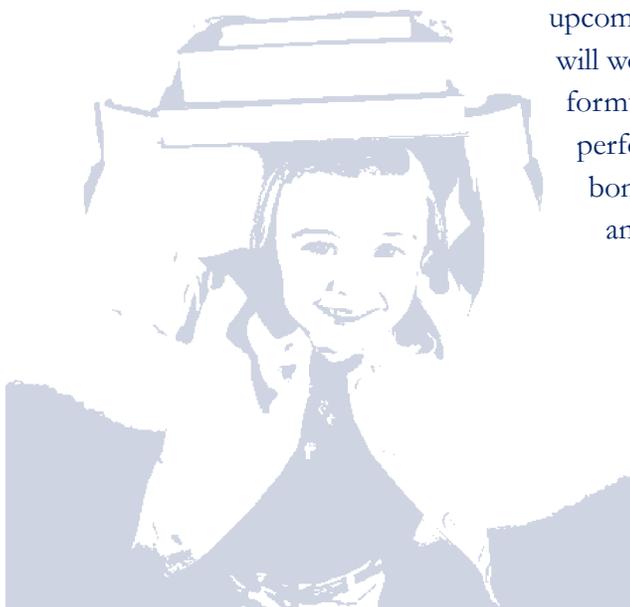
## Strategies for Objective 1.1

**Provide technical assistance.** The Department will offer technical assistance for states to help them develop robust school accountability systems that fulfill the requirements of the *No Child Left Behind* Act. These systems must include rigorous academic standards, annual assessments in reading and mathematics in grades three through eight, real accountability for schools and greater options for parents.

**Publish a national education performance report.** The Department will publish an annual report detailing each state's progress over time on a number of K-16 performance indicators. These indicators will be drawn from the student achievement reporting requirements of *No Child Left Behind*, as well as other existing data sources.

**Create performance-based grants.** Within upcoming reauthorizations, the Department will work with Congress to transform formula-based state grants into performance-based grants that award bonuses to states for significant progress and impose sanctions for lack of results.

**Support Department programs that work.** We will provide an annual list, in conjunction with our GPRA annual performance report and budget submission to Congress, of Department programs that have and have not demonstrated effectiveness in terms of outcomes



and propose reforming or eliminating ineffective programs. Effectiveness will be determined by program performance indicators or through rigorous program evaluations. (See objective 6.5 for more on this topic.)

## Performance Measures for Objective 1.1

Objective 1.1 Link Federal Education Funding to Accountability for Results							
Performance Targets							
		'02	'03	'04	'05	'06	'07
State Accountability Systems	The percentage of states with complete school accountability systems in place as required by the <i>No Child Left Behind Act</i> .*	30	40	50	75	100	100
Federal Program Accountability	The percentage of Department programs that demonstrate effectiveness in terms of outcomes, either on performance indicators or through rigorous evaluations.	Base line + 5 PP	Base line + 10 PP	Base line + 20 PP	Base line + 30 PP	Base line + 40 PP	70
	The percentage of Department program dollars that are in programs that demonstrate effectiveness in terms of outcomes, either on performance indicators or through rigorous evaluations.	Base line + 10 PP	Base line + 20 PP	Base line + 30 PP	Base line + 40 PP	Base line + 50 PP	80

\* For this indicator, a complete accountability system includes annual assessments in grades three through eight in mathematics and reading; the publication of adequate yearly progress targets for each student subgroup; the publication of student achievement data (by school, district, and statewide) disaggregated by race/ethnicity, poverty, disability, and Limited-English proficiency; and the choice provisions for students in low-performing schools. This entire system is not required to be in place until 2005-2006.

PP = Percentage Points  
The baseline year is FY 2001.

## Objective 1.2

### Increase flexibility and local control

As the president has said, “Local schools now have a mandate to reform, and we are giving them the freedom to reform.” States, school districts and other grantees will receive increased flexibility over the use of federal funds, and greater responsiveness from the Department to their concerns, in exchange for greater accountability for results. Information technology initiatives will dramatically reduce the data collection burden on state and local officials by seamlessly collecting and disseminating performance information. Increased flexibility will be a core principle incorporated in all legislative proposals.

### Strategies for Objective 1.2

**Publicize flexibility provisions to the states.** The Department will aggressively communicate the flexibility opportunities provided by the *No Child Left Behind Act* to the states. These include the state transferability provisions, as well as the State Flexibility Demonstration Program. We will make the process of using the flexibility provisions as simple as possible, while maintaining program integrity. We will encourage greater participation in Ed-Flex.

**Publicize flexibility provisions to local districts.** The Department will aggressively communicate the flexibility opportunities provided by the *No Child Left Behind Act* to local school districts. These include the local transferability provisions, as well as the Local Flexibility Demonstration Program. We will encourage greater participation in the flexibility program for small rural schools. We will commission a study to understand the barriers to participation in flexibility programs.



**Foster a customer service orientation at the Department.** The Department will ensure that states, districts, and other partners receive timely responses to inquiries. Specifically for the implementation of *No Child Left Behind*, we will assign senior officers to develop relationships with individual states, and create a customer support team to respond to issues.

**Increase flexibility within other federal programs.** The Department will work with Congress to embed greater flexibility within other federal education legislation, such as the Individuals with Disabilities Education Act, the Perkins Act, the Rehabilitation Act, and the Higher Education Act.

**Reduce the data collection and reporting burden while increasing the usefulness of the data.** The Department will leverage technology and dramatically reduce data collection burden by implementing a performance-based data management system. We will eliminate unnecessary and duplicative data requests. We will ensure that program performance measures are focused on outcomes, avoiding compliance-oriented data collection when possible. The Department will work with states to define common data and technical standards to allow seamless electronic sharing of information. We will provide access to the data so that it may be used for school improvement efforts. (See objective 6.3 for more on this topic.)

## External Factors

**Statutory limitations.** In some situations, Congress mandates the collection of specific data elements. We will work with Congress to encourage the elimination of redundant data requirements or those that are not focused on results.

## Performance Measures for Objective 1.2

Objective 1.2 Increase Flexibility and Local Control							
		Performance Targets					
		'02	'03	'04	'05	'06	'07
Local Flexibility	The percentage of school districts utilizing transferability or rural flexibility provisions.	Base line + 5 PP	Base line + 10 PP	Base line + 20 PP	Base line + 30 PP	Base line + 40 PP	Base line + 50 PP
State Flexibility	The number of sates approved for Ed-Flex. (2001 baseline = 9)	15	20	25	30	35	40
Federal Data Collection Burden	The OMB burden hour estimates of Department program data collections per year. (2001 baseline = 40.5 million)	40M	38M	35M	30M	25M	20M
Customer Service	The percentage of Department grantees that express satisfaction with ED customer service (responsiveness, timeliness, efficiency, etc.).*	TBD	TBD	TBD	TBD	TBD	TBD

\* Customer satisfaction rating to be determined.

PP = Percentage Points

M = Million

## Objective 1.3

Increase information and options for parents

Parents are children's first and most important teachers. The Department will aggressively implement the parental involvement, information and options components of *No Child Left Behind* and encourage states and communities to provide additional choices to parents. States and districts will be required to publish report cards that provide school performance information to parents. Children trapped in failing or unsafe schools will have the opportunity to attend better public schools (including charter schools) or use federal funds for private tutoring. Public school options, including charter schools, will be strongly supported for all students, as will private school options for disadvantaged children. The Department will also work with Congress to embed greater parental choice, involvement and information in all federal education programs, as well as within the tax code.

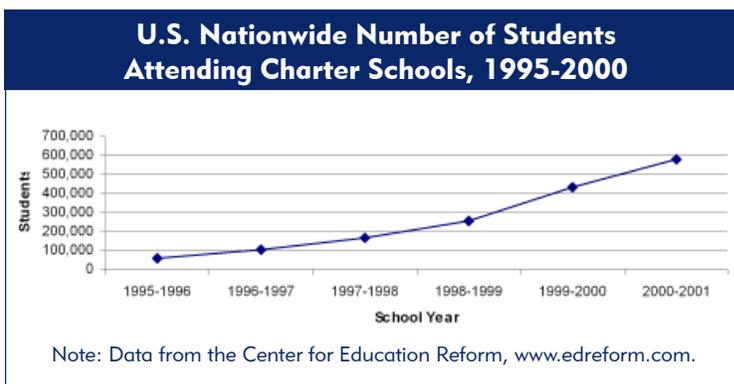
### Strategies for Objective 1.3

**Require school report cards.** The Department will work with states to implement the report card requirements of *No Child Left Behind* to provide high quality, understandable information to parents about their child's school. We will publicize the existence of these report cards and encourage their use, both for school improvement efforts and to help parents make good choices regarding where to send their child to school. We will also encourage the creation of easy-to-use online databases of school information and options for parents.

**Support charter schools.** We will support start-up funds and facilities financing to enable the development of many high-quality charter schools.

**Provide choices to children trapped in failing or unsafe schools.** The Department will work with states to ensure that children trapped in failing or

unsafe schools have the opportunity to transfer to better public schools (including charter schools) or use federal dollars for supplemental educational services. We will encourage states and communities to provide additional options for children trapped in failing schools, including attendance at high quality private schools.



**Expand choice in other federal programs.** The Department will work with Congress and other agencies to increase information and options for parents and other customers within other legislative areas, including special education, vocational education, higher education, vocational rehabilitation and through the tax code.

## External Factors

**State and local parental choice provisions.** While the *No Child Left Behind* Act mandates public school choice for children trapped in failing or unsafe schools, the range of choices is dependent upon state and local policies. We will encourage states and local communities to provide mechanisms for choice outside the student’s district and to develop charter school laws and systems.

## Performance Measures for Objective 1.3

Objective 1.3 Increase Information and Options for Parents							
Performance Targets							
		'02	'03	'04	'05	'06	'07
Information	The percentage of parents who report having the information they need to determine the effectiveness of their child’s school.	Base line	Base line + 5 PP	Base line + 10 PP	Base line + 25 PP	Base line + 40 PP	Base line + 50 PP
Parental Choice	The percentage of students in grades K-12 that are attending a school (public or private) that their parents have chosen. (1999 baseline = 15%)*	18	19	20	21	23	25
	The number of children attending charter schools (in thousands).** (2001 baseline = 575,000)	690	828	997	1.19	1.43	1.72
Supplemental Educational Services	Of eligible children, the percentage using supplemental educational services under the provisions of Title I.***	—****	Base line	Base line + 5 PP	Base line + 10 PP	Base line + 15 PP	Base line + 20 PP

\* Students included in this indicator either attend a private school or a public school outside their regular attendance zone.

\*\* Targets assume 20% annual growth, which was the rate of growth from 2000-2001 to 2001-2002.

\*\*\* Eligible children are low-income children who attend a Title I school in “school improvement” status.

\*\*\*\* This provision does not go into effect until September 2002 for the 2002-2003 school year. This equates with the Department’s 2003 fiscal year; therefore 2003 data will be used as the baseline.

PP = Percentage Points

## Objective 1.4

Encourage the use of scientifically based methods within federal education programs

Part of the cultural transformation needed throughout the American education system is the switch from a fascination with instructional fads to a focus on scientifically based research. This cultural change is addressed further in Goal Four, where we describe how the Department will develop and disseminate sound educational research. But the Department will also work to embed the best science in all of our programs to ensure the use of methods that work.

### Strategies for Objective 1.4

**Develop “what works” guides for each Department program.** Working with Department researchers, each program will develop an overview of rigorous research studies related to their policy area. Whenever possible, these guides will be informed by the “What Works Clearinghouse” (see Objective 4.2). These guides will be distributed to program grantees electronically and in print.

**Revise grant applications to reflect scientifically based research.** In areas with robust research, grant applications and guidance will be revised to reflect the findings. Grantees will be required to use methods that have been proven effective.

**Work with Congress to embed scientifically based research in all federal programs.** The Department’s upcoming legislative proposals in areas such as special education, vocational education, higher education, and vocational rehabilitation will reflect rigorous research and will demand the use of methods that work.

### External Factors

**Limitations of research.** Policy makers have supported some programs for which there is no rigorous research, and in which building a solid research base may prove to be difficult. As described in Goal Four, we will work to develop the research base in high priority areas, while working with Congress to focus on interventions with clear evidence of effectiveness.

## Performance Measures for Objective 1.4

Table 4: Objective 1.4 Encourage the Use of Scientifically Based Methods within Federal Education Programs							
		Performance Targets					
		'02	'03	'04	'05	'06	'07
"What Works" Guides	The percentage of Department programs that have developed and disseminated research-based "what works" guides to their grantees.	10	25	50	60	70	80
	The percentage of "what works" guides that are deemed to be of high quality by an independent review panel of qualified scientists.	90	95	100	100	100	100

# 2 Strategic Goal Two: Improve Student Achievement



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“More and more, we are divided into two nations. One that reads, one that doesn't. One that dreams, one that doesn't.”

In education, the bottom line is student learning. As a result of the hard work of students, educators, parents, and leaders at the state and local levels, American students will dramatically improve their achievement in reading, mathematics and science, while receiving a rich, well-rounded education. The Department will lead a national campaign to ensure that every child is reading at grade level by third grade. Pre-school and elementary school teachers throughout the nation will receive training in the proven components of effective early reading instruction. To ensure that students become proficient in mathematics and science, the Department will establish a broad collaboration of school districts, colleges and universities, and research institutions to improve the quality of instruction. The Department will lead a campaign to improve the rigor of the high school curriculum and to design new options for adolescent students. Because student achievement is dependent upon the effort of well-prepared teachers and school leaders, the Department will establish initiatives to ensure that the supply of high-quality teachers and principals meets demand.

## Objective 2.1

Ensure that all students read on grade level by the third grade.

## Objective 2.2

Improve mathematics and science achievement for all students.

## Objective 2.3

Improve the performance of all high school students.

## Objective 2.4

Improve teacher and principal quality.

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“Some people say it is unfair to hold disadvantaged children to rigorous standards. I say it is discrimination to require anything less—the soft bigotry of low expectations.”

—President George W. Bush

## Objective 2.1

Ensure that all students read on grade level by the third grade

President Bush and Congress set a goal through *No Child Left Behind* that all children will read at grade level by third grade. To reach this goal we must ensure that reading instruction is based on solid scientific research. We will build a strong understanding of the five essential components of good reading instruction and the importance of early cognitive development. We will boost reading achievement for all students, including minority and low-income children, English language learners, and children with disabilities.

### Strategies for Objective 2.1

**Hold schools accountable for improving reading achievement.** As discussed in Goal One, states will hold schools accountable for ensuring that no child is left behind, especially in the critical area of reading.

**Promote early cognitive development.** Through the Early Childhood Task Force, we will ensure that all Department and HHS early childhood programs are designed to boost cognitive ability and early literacy skills. Early Reading First will support model pre-school programs that demonstrate the power of scientifically based interventions in early cognitive development. Through Even Start, we will work to ensure that family literacy programs are based on solid research.

**Publicize the rigorous research on reading instruction.** To focus state and local leaders on reading instruction that works, the Department will convene Reading Leadership Academies and will spotlight the research on effective reading instruction. Through Reading First and Early Reading First, we will provide program guidance and fund technical assistance to support effective reading instruction.

**Encourage early identification and intervention of reading difficulties.** The Department will encourage schools to identify children with reading difficulties early and intervene with research-based methods. We will work with Congress to reform the Individuals with Disabilities Education Act (IDEA) to emphasize early identification and prevention of reading difficulties.

**Include special education students in state reading assessments.** We will enforce the requirements of *No Child Left Behind* and IDEA to ensure the inclusion of special education students in reading assessments.

**Ensure that English language learners meet rigorous standards.** Limited-English proficient students will be included in state reading assessments (in English) within three years of their arrival in America, and prior to that, in state assessments in their home language. The Department

will support research on effective strategies for boosting English acquisition, enhancement, and academic achievement.

## External Factors

**Teacher certification.** One of the most important factors outside the Department’s control is the system of teacher certification. We will work with the states and national accreditation bodies to encourage the incorporation of research-based reading instruction into teacher certification requirements.

## Performance Measures for Objective 2.1

Objective 2.1 Reading Achievement							
		Performance Targets					
		'02	'03	'04	'05	'06	'07
State Reading Assessments (See Note A)	<b>All Students.</b> The number of states meeting their targets for third-grade reading achievement for all students.	N/A	45	45	45	45	45
	<b>Low-Income Students.</b> The number of states meeting their targets for third-grade reading achievement for low-income students.	N/A	45	45	45	45	45
	<b>African American Students.</b> The number of states meeting their targets for third-grade reading achievement for African American students.	N/A	45	45	45	45	45
	<b>Hispanic Students.</b> The number of states meeting their targets for third-grade reading achievement for Hispanic students.	N/A	45	45	45	45	45
	<b>Students with Disabilities.</b> The number of states meeting their targets for third-grade reading achievement for students with disabilities.	N/A	45	45	45	45	45
	<b>English Language Learners.</b> The number of states meeting their targets for third-grade reading achievement for English language learners.	N/A	45	45	45	45	45

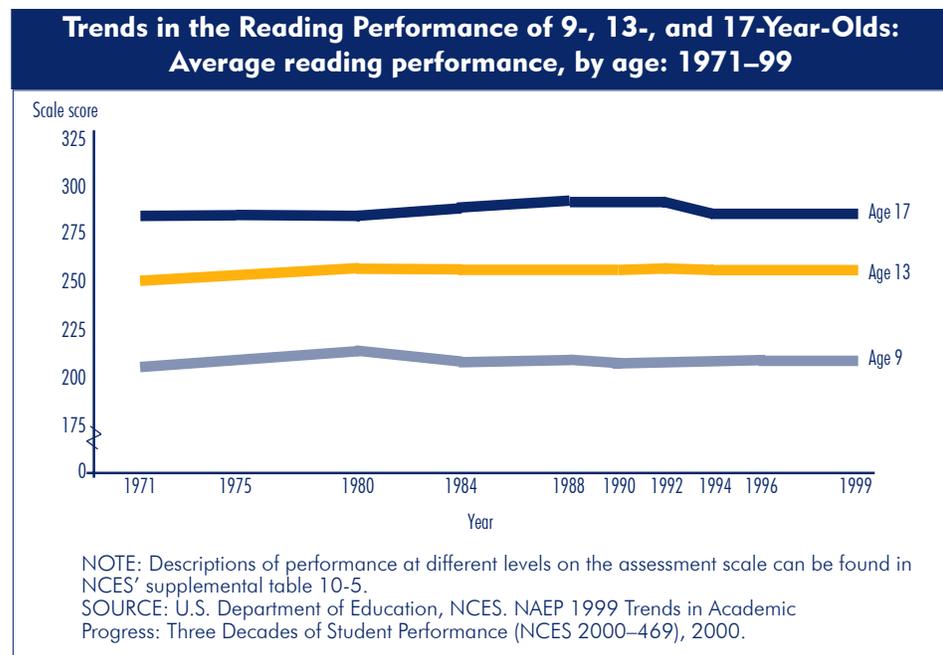
## Objective 2.1 Reading Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
NAEP Reading (See Note B)	<p><b>All Students.</b> The percentage of all 4<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 59% 2000 Proficient Baseline=29%</p>	60 30	61 31	X X	62 32	X X	63 33
	<p><b>Low-Income Students.</b> The percentage of low-income 4<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 39% 2000 Proficient Baseline = 13%</p>	40 14	41 15	X X	42 16	X X	47 21
	<p><b>African American Students.</b> The percentage of African American 4<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP 2000 Basic Baseline = 35% 2000 Proficient Baseline= 10%</p>	36 11	37 12	X X	38 13	X X	43 18
	<p><b>Hispanic Students.</b> The percentage of Hispanic 4<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 36% 2000 Proficient Baseline = 13%</p>	37 14	38 15	X X	39 16	X X	44 21
	<p><b>Students with Disabilities.</b> The percentage of 4<sup>th</sup> grade students with disabilities scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 23% 2000 Proficient Baseline = 8%</p>	24 9	25 10	X X	26 11	X X	31 16
	<p><b>Limited-English Proficient Students.</b> The percentage of 4<sup>th</sup> grade Limited-English proficient students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 18% 2000 Proficient Baseline = 3%</p>	19 4	20 5	X X	21 6	X X	26 11

Notes:

- A Using the 2001-2002 school year as a baseline, states are required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002-2003 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.) Under the *No Child Left Behind Act*, these targets must increase at least every three years for the next 12 years, when 100 percent of all students within all subgroups are expected to achieve proficiency. Therefore, while the targets listed above are stable, student achievement will actually need to improve steadily in order to meet these goals. When a state does not test students in the third-grade, results from fourth- or fifth-grade assessments will be used instead.
  
- B Achievement targets: These targets assume a 4 percentage point gain for all students from 2000 to 2007 and an 8 percentage point gain for each subgroup, thus narrowing the achievement gaps. While this is very ambitious when compared to long-term national trend lines, some states have shown that such rapid progress is possible. For example, from 1992 to 1998, African American students in Minnesota made gains of 8 percentage points at the proficient level on the fourth-grade NAEP reading assessment, as did Hispanic students in Connecticut. At the basic level, two states showed gains of 8 percentage points or more for African Americans – Rhode Island and Connecticut, plus the Virgin Islands. For Hispanics, at the basic level, one state (Connecticut) showed gains of 8 percentage points or more. Due to relatively small sample sizes, American Indians/Alaska Natives and Asian/Pacific Islanders are not reported.

Under the current schedule, NAEP Reading will not be given in 2004 and 2006.



## Objective 2.2

Improve mathematics and science achievement for all students

The National Commission on Mathematics and Science Teaching for the 21<sup>st</sup> Century (the Glenn Commission) and the Hart-Rudman commission on national security both made clear that America's future depends upon improvements in mathematics and science achievement. Currently, international comparisons such as the Third International Mathematics and Science Study show middle and high school students in America performing at or below the average level. The National Assessment of Educational Progress shows eighth-grade student performance below proficient in mathematics and science for 70 percent of our students and 90 percent of our minority students. For this situation to improve, the quality of teaching in these subjects must improve. Every student deserves to have teachers who possess strong content knowledge in their areas of teaching, as well as effective strategies to engage all students. Mathematics and science teachers must have opportunities to remain current in their fields and take advantage of new technologies to make their subject areas meaningful and engaging for their students.

### Strategies for Objective 2.2

**Hold schools accountable for improving mathematics and science achievement of all students.** As discussed in Goal One, states will hold schools accountable for improving achievement in mathematics and reading of all subgroups of students. Annual assessments in mathematics in grades three through eight will be required, as will state assessments in science.

**Use data to inform instruction.** The Department will work with states and districts to ensure that schools have access to student assessment data in order to inform school improvement strategies and to develop specific interventions for individual children. We will fund training in the use of Internet-based data disaggregation tools for schools, districts, and state education agencies.

**Develop mathematics and science partnerships.** The Department will work with the National Science Foundation to award grants to partnerships of school districts, institutions of higher education, research centers, and scientific institutions to improve the quality of instruction throughout the K-16 system. We will work with business groups to encourage student interest in careers in mathematics and science.

**Include special education students and English language learners in state mathematics assessments.** The Department will enforce the requirements of *No Child Left Behind* to ensure the inclusion of special education students and English language learners in mathematics assessments.

**Encourage rigorous course-taking.** The Department will lead a national campaign to encourage students to take challenging mathematics and science courses in elementary and secondary school.

**Support high quality professional development.** Through Title II of the *No Child Left Behind Act* and other programs, we will ensure that mathematics and science teachers have access to high quality training in effective instructional methods and content knowledge.

**Recruit mathematics and science teachers into high-need schools.** The Department will promote new options for the recruitment, selection, and retention of qualified teachers, including high quality alternate routes to certification. We will encourage school districts to develop and implement new incentive and compensation systems to attract and retain teachers of mathematics and science. We will publicize and expand the Department's loan forgiveness program for teachers in high-poverty schools. (See objective 2.4 for more on this topic.)

**Strengthen the research on mathematics and science instruction.** The Department will support high quality studies to investigate how students best learn mathematics and science and ensure that the findings are disseminated to the field. (See Goal Four for more on this topic.)

## External Factors

**Labor market.** Competition from other sectors for prospective mathematics and science teachers may exacerbate the shortage of highly qualified teachers of mathematics and science. We will work with states and local districts to encourage the adoption of compensation and incentive systems that will effectively recruit and retain talented mathematics and science teachers.

## Performance Measures for Objective 2.2

Objective 2.2 Mathematics Achievement							
Performance Targets							
		'02	'03	'04	'05	'06	'07
State Mathematics Assessments (See Note A)	<b>All Students.</b> The number of states meeting their targets for eighth-grade mathematics achievement for all students.	N/A	45	45	45	45	45
	<b>Low-Income Students.</b> The number of states meeting their targets for eighth-grade mathematics achievement for low-income students.	N/A	45	45	45	45	45
	<b>African American Students.</b> The number of states meeting their targets for eighth-grade mathematics achievement for African American students.	N/A	45	45	45	45	45
	<b>Hispanic Students.</b> The number of states meeting their targets for eighth-grade mathematics achievement for Hispanic students.	N/A	45	45	45	45	45
	<b>Students with Disabilities.</b> The number of states meeting their targets for eighth-grade mathematics achievement for students with disabilities.	N/A	45	45	45	45	45
	<b>English Language Learners.</b> The number of states meeting their targets for eighth-grade mathematics achievement for English language learners.	N/A	45	45	45	45	45

## Objective 2.2 Mathematics Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
NAEP Mathematics (See Note B)	<p><b>All Students.</b> The percentage of all 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 63% 2000 Proficient Baseline = 26%</p>	X	64	X	65	X	67
		X	27	X	28	X	30
	<p><b>Low-Income Students.</b> The percentage of low-income 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 42% 2000 Proficient Baseline = 10%</p>	X	43	X	45	X	50
		X	11	X	13	X	18
	<p><b>African American Students.</b> The percentage of African American 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 30% 2000 Proficient Baseline = 5%</p>	X	31	X	33	X	38
		X	6	X	8	X	13
	<p><b>Hispanic Students.</b> The percentage of Hispanic 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 39% 2000 Proficient Baseline = 8%</p>	X	40	X	42	X	47
	X	9	X	11	X	16	
<p><b>Students with Disabilities.</b> The percentage of 8<sup>th</sup> grade students with disabilities scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 22% 2000 Proficient Baseline = 4%</p>	X	23	X	25	X	30	
	X	5	X	7	X	12	
<p><b>Limited-English Proficient Students.</b> The percentage of 8<sup>th</sup> grade Limited-English proficient students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 21% 2000 Proficient Baseline = 2%</p>	X	22	X	24	X	29	
	X	3	X	5	X	10	

## Objective 2.2 Science Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
NAEP Science (See Note C)	<p><b>All Students.</b> The percentage of all 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 59% 2000 Proficient Baseline = 30%</p>	X	X	X	61	X	X
		X	X	X	33	X	X
	<p><b>Low-Income Students.</b> The percentage of low-income 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 33% 2000 Proficient Baseline = 11%</p>	X	X	X	39	X	X
		X	X	X	17	X	X
	<p><b>African American Students.</b> The percentage of African American 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 24% 2000 Proficient Baseline = 6%</p>	X	X	X	30	X	X
		X	X	X	12	X	X
	<p><b>Hispanic Students.</b> The percentage of Hispanic 8<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 33% 2000 Proficient Baseline = 10%</p>	X	X	X	39	X	X
	X	X	X	16	X	X	
<p><b>Students with Disabilities.</b> The percentage of 8<sup>th</sup> grade students with disabilities scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 28% 2000 Proficient Baseline = 8%</p>	X	X	X	34	X	X	
	X	X	X	14	X	X	
<p><b>Limited-English Proficient Students.</b> The percentage of 8<sup>th</sup> grade limited-English proficient students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 12% 2000 Proficient Baseline = 3%</p>	X	X	X	18	X	X	
	X	X	X	9	X	X	

Notes:

A Using the 2001-2002 school year as a baseline, states are required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002-2003 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.) Under the *No Child Left Behind Act*, these targets must increase at least every three years for the next 12 years, when 100 percent of all students within all subgroups are expected to achieve proficiency. Therefore, while the targets listed above are stable, student achievement will actually need to improve steadily in order to meet these goals. When a state does not test students in the eighth-grade, results from sixth- or seventh-grade assessments will be used instead.

B Achievement targets: These targets assume a 4 percentage point gain for all students from 2000 to 2007 and an 8 percentage point gain for each subgroup, thus narrowing the achievement gaps. While this is very ambitious when compared to long-term national trend lines, several states have shown that such rapid progress is possible. For example, from 1992 to 2000, Hispanic students in six states (Ohio, Maryland, North Carolina, West Virginia, Tennessee and Massachusetts) made gains of at least 8 percentage points on the eighth-grade NAEP mathematics assessment, and African-American students in Nebraska and New York made gains of at least six percentage points. At the basic level, African American students in 14 states achieved gains of at least 8 percentage points on the 8<sup>th</sup> grade NAEP mathematics assessment, and Hispanics gained at least 8 percentage points in 18 states.

Note: Under the current schedule, NAEP Mathematics will not be given in 2002, 2004 and 2006.

C Achievement targets: These targets assume a 3 percentage point gain for all students from 2000 to 2005 and a 6 percentage point gain for each subgroup, thus narrowing the achievement gaps. This rate of change is proportionate to the targets set for reading and mathematics (considering the shorter timeline).

Note: Under the current schedule, NAEP Science will next be given in 2005.

**Mathematics Performance: Average mathematics performance of students in their final year of secondary school from the TIMSS, 1995**

Average score relative to U.S.	Country	
Significantly higher	Australia <sup>1</sup>	<i>International average</i>
	Austria <sup>1</sup>	Netherlands <sup>1</sup>
	Canada <sup>1</sup>	New Zealand
	Denmark <sup>1</sup>	Norway <sup>1</sup>
	France <sup>1</sup>	Slovenia <sup>1</sup>
	Germany <sup>1</sup>	Sweden <sup>1</sup>
	Hungary	Switzerland
	Iceland <sup>1</sup>	
Not significantly different	Czech Republic	Lithuania
	Italy <sup>1</sup>	Russian Federation
Significantly lower	Cyprus <sup>1</sup>	South Africa <sup>1</sup>

1. Did not satisfy one or more of the sampling or other guidelines. In the final year of secondary school, this included the United States. Latvia is designated LSS for Latvian-speaking schools only. See NCES' Supplemental Note 7 for more information.  
 SOURCES: U.S. Department of Education, NCES. Pursuing Excellence: A Study of U.S. Fourth-Grade Mathematics and Science Achievement in International Context (NCES 97-255), 1997; U.S. Department of Education, NCES. Pursuing Excellence: A Study of U.S. Eighth-Grade Mathematics and Science Teaching, Learning, Curriculum, and Achievement in International Context (NCES 97-198), 1996; U.S. Department of Education, NCES. Pursuing Excellence: A Study of U.S. Twelfth-Grade Mathematics and Science Achievement in International Context (NCES 98-049), 1998.

## Objective 2.3

Improve the performance of all high school students

The demands of a competitive economy and flexible workplace require every American youth to acquire solid academic preparation for an effective transition from high school to postsecondary education and then to the workplace. Today's youth need strong academic skills in written and oral communication, mathematics and science, problem solving and teamwork. Yet the National Assessment of Educational Progress shows 12<sup>th</sup> grade achievement declining at the same time that the national dropout rate is increasing. We must do better. American high schools must be held accountable for raising the academic achievement of all students. At the same time, our education system should offer customized learning opportunities to adolescents, tapping into community colleges, education technology, and other nontraditional sources to boost learning and career preparation for students.

### Strategies for Objective 2.3

**Hold schools accountable for student achievement.** The Department will work with states to implement the high school accountability measures within *No Child Left Behind* to ensure that all high school students attain strong academic knowledge and skills and graduate from high school. The Department will partner with states to investigate ways to link high school graduation exams with postsecondary entrance requirements.

**Improve the rigor of the high school curriculum.** The Department will encourage all students to take more challenging courses, such as Advanced Placement or International Baccalaureate, especially in mathematics and science. We will develop strategies to accelerate learning for students arriving at high school below grade level so that they meet academic standards upon graduation. The Department will commission a study of the rigor of high school exit exams. We will work to improve the academic content knowledge of high school teachers. (See objective 2.4 for more on this topic.)

**Strengthen research and development efforts focused on high schools.** Comparatively little work has been done to study the effectiveness of various high school reform models. The Department will invest in research and development to determine more effective ways to raise the achievement of high school students, especially those arriving well below grade level.

**Increase learning options for students.** The Department will test the relative effectiveness and impact of strategies relating to adolescent literacy, mathematics and science achievement, career-related academies, education

technology, career and technical education, dual or concurrent enrollment in postsecondary education, career awareness, and career development. Effective strategies for students with disabilities and English language learners will be given special attention.

## Performance Measures for Objective 2.3

Objective 2.3 High School Achievement							
Performance Targets							
		'02	'03	'04	'05	'06	'07
State Reading Assessments (See Note A)	<b>All Students.</b> The number of states meeting their targets for high school reading achievement for all students.	N/A	45	45	45	45	45
	<b>Low-Income Students.</b> The number of states meeting their targets for high school reading achievement for low-income students.	N/A	45	45	45	45	45
	<b>African American Students.</b> The number of states meeting their targets for high school reading achievement for African American students.	N/A	45	45	45	45	45
	<b>Hispanic Students.</b> The number of states meeting their targets for high school reading achievement for Hispanic students.	N/A	45	45	45	45	45
	<b>Students with Disabilities.</b> The number of states meeting their targets for high school reading achievement for students with disabilities.	N/A	45	45	45	45	45
	<b>English Language Learners.</b> The number of states meeting their targets for high school reading achievement for English language learners.	N/A	45	45	45	45	45

## Objective 2.3 High School Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
State Mathematics Assessments (See Note B)	<b>All Students.</b> The number of States meeting their targets for high school mathematics achievement for all students.	N/A	45	45	45	45	45
	<b>Low-Income Students.</b> The number of states meeting their targets for high school mathematics achievement for low-income students.	N/A	45	45	45	45	45
	<b>African American Students.</b> The number of states meeting their targets for high school mathematics achievement for African American students.	N/A	45	45	45	45	45
	<b>Hispanic Students.</b> The number of states meeting their targets for high school mathematics achievement for Hispanic students.	N/A	45	45	45	45	45
	<b>Students with Disabilities.</b> The number of states meeting their targets for high school mathematics achievement for students with disabilities.	N/A	45	45	45	45	45
	<b>English Language Learners.</b> The number of states meeting their targets for high school mathematics achievement for English language learners.	N/A	45	45	45	45	45

## Objective 2.3 High School Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
NAEP Reading (See Note C)	<b>All Students.</b> The percentage of all 12 <sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 1998 Basic Baseline = 75% 1998 Proficient Baseline = 38%	76 39	X X	X X	77 40	X X	79 42
	<b>African American Students.</b> The percentage of African American 12 <sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 1998 Basic Baseline = 56% 1998 Proficient Baseline = 16%	57 17	X X	X X	59 19	X X	64 24
	<b>Hispanic Students.</b> The percentage of Hispanic 12 <sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 1998 Basic Baseline = 60% 1998 Proficient Baseline = 23%	61 24	X X	X X	63 26	X X	68 31
	<b>Students with Disabilities.</b> The percentage of 12 <sup>th</sup> grade students with disabilities scoring at or above the basic and proficient levels on the NAEP. 1998 Basic Baseline = 30% 1998 Proficient Baseline = 7%	31 8	X X	X X	33 10	X X	38 15
	<b>Limited-English Proficient Students.</b> The percentage of 12 <sup>th</sup> grade students with limited-English proficiency scoring at or above the basic and proficient levels on the NAEP. 1998 Basic Baseline = 27% 1998 Proficient Baseline = 8%	28 9	X X	X X	30 11	X X	35 16

## Objective 2.3 High School Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
NAEP Mathematics (See Note D)	<b>All Students.</b> The percentage of all 12 <sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 62% 2000 Proficient Baseline = 16%	X	63	X	64	X	66
		X	17	X	18	X	20
	<b>African American Students.</b> The percentage of African American 12 <sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 29% 2000 Proficient Baseline = 2%	X	30	X	32	X	37
		X	3	X	5	X	10
	<b>Hispanic Students.</b> The percentage of Hispanic 12 <sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 42% 2000 Proficient Baseline = 4%	X	43	X	45	X	50
		X	5	X	7	X	12
<b>Students with Disabilities.</b> The percentage of 12 <sup>th</sup> grade students with disabilities scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 24% 2000 Proficient Baseline = 4%	X	25	X	27	X	32	
	X	5	X	7	X	12	
<b>Limited-English Proficient Students.</b> The percentage of 12 <sup>th</sup> grade students with limited-English proficiency scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 28% 2000 Proficient Baseline = 2%	X	3	X	5	X	10	
	X	29	X	31	X	36	
	X	3	X	5	X	10	

## Objective 2.3 High School Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
NAEP Science (See Note E)	<p><b>All Students.</b> The percentage of all 12<sup>th</sup> grade students scoring at or above basic and proficient levels on the NAEP. 2000 Basic Baseline = 50% 2000 Proficient Baseline = 17%</p>	X	X	X	53	X	X
		X	X	X	20	X	X
	<p><b>African American Students.</b> The percentage of African American 12<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 21% 2000 Proficient Baseline = 3%</p>	X	X	X	27	X	X
		X	X	X	9	X	X
	<p><b>Hispanic Students.</b> The percentage of Hispanic 12<sup>th</sup> grade students scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 28% 2000 Proficient Baseline = 6%</p>	X	X	X	34	X	X
	X	X	X	12	X	X	
<p><b>Students with Disabilities.</b> The percentage of 12<sup>th</sup> grade students with disabilities scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 17% 2000 Proficient Baseline = 4%</p>	X	X	X	23	X	X	
	X	X	X	10	X	X	
<p><b>Limited-English Proficient Students.</b> The percentage of 12<sup>th</sup> grade students with limited-English proficiency scoring at or above the basic and proficient levels on the NAEP. 2000 Basic Baseline = 13% 2000 Proficient Baseline = 2%</p>	X	X	X	19	X	X	
	X	X	X	8	X	X	

## Objective 2.3 High School Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
Advance Placement Participation (See Note F)	<b>All Students</b> The percentage of all 12 <sup>th</sup> grade students who took at least one of the AP exams. (1999 Baseline = 13.1%)	14	15	16	17	18	20
	<b>African American Students.</b> The percentage of all 12 <sup>th</sup> grade African American students who took at least one of the AP exams. (2001 Baseline = 3.7%)	4	5	7	9	12	15
	<b>Hispanic Students.</b> The percentage of all 12 <sup>th</sup> grade Hispanic students who took at least on of the AP exams. (2001 Baseline = 8.5%)	9	10	12	14	16	18
Advance Placement Achievement (See Note G)	<b>English.</b> The percentage of all 12 <sup>th</sup> grade students who scored 3 or higher on at least one of the AP English exams. (2001 Baseline = 4.9%)	5.4	5.9	6.4	7.4	8.4	9.9
	<b>History.</b> The percentage of all 12 <sup>th</sup> grade students who scored 3 or higher on the AP American history exam. (2001 Baseline = 3.0%)	3.5	4	4.5	5.5	6.5	8
	<b>Calculus.</b> The percentage of all 12 <sup>th</sup> grade students who scored 3 or higher on at least one of the AP calculus exams. (2001 Baseline = 3.4%)	3.9	4.4	4.9	5.9	6.9	8.4
	<b>Science.</b> The percentage of all 12 <sup>th</sup> grade students who scored 3 or higher on at least one of the AP science exams. (2001 Baseline = 2.6%)	3.1	3.6	4.1	5.1	6.1	7.6

## Objective 2.3 High School Achievement

		Performance Targets					
		'02	'03	'04	'05	'06	'07
High School Completion (See Note H)	<b>Total.</b> * The percentage of 18-24 year-olds who have completed high school. (2000 Baseline = 85.9%)	86.1	86.5	87.5	88.5	90	91
	<b>African Americans.</b> The percentage of 18-24 year-old African Americans who have completed high school. (2000 Baseline = 83.5%)	66.0	84.5	85.5	87	88.5	90
	<b>Hispanic Americans.</b> The percentage of 18-24 year-old Hispanic Americans who have completed high school. (2000 Baseline = 63.4%)	84	66	69	73	77	80

Note: These targets demonstrate a narrowing of the high school completion gaps (between all individuals and African Americans/Hispanic Americans) by half.

\* Due to small sample sizes, American Indian/Alaskan Natives and Asian/Pacific Islanders are included in the total, but are not shown separately.

Source: U.S. Department of Commerce, Bureau of the Census, Current Population Survey.

### College Prep: Nearly a third of our college freshmen find they must take a remedial course before they are able to even begin regular college level courses.

**Percentage of freshmen enrolled in remedial courses, by subject, control and type of institution, and minority enrollment: Fall 1989 and 1995**

Subject	Fall 1989	Fall 1995						Minority enrollment*	
		Total	Public		Private		High	Low	
			2-year	4-year	2-year	4-year			
Reading, writing, or mathematics	30	29	41	22	26	13	43	26	
Reading	13	13	20	8	11	7	25	11	
Writing	16	17	25	12	18	8	29	15	
Mathematics	21	24	34	18	23	9	35	21	

**Percentage of higher education institutions offering remedial courses, by subject, control and type of institution, and minority enrollment: Fall 1989 and 1995**

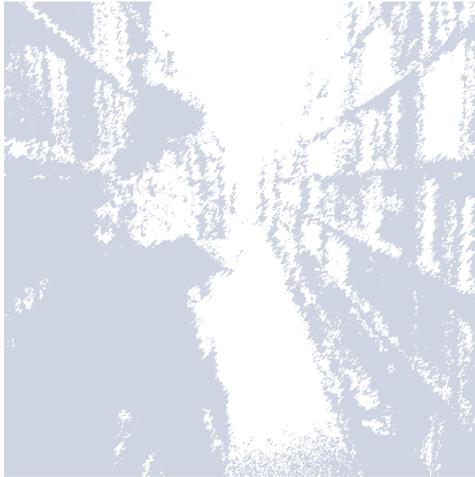
Subject	Fall 1989	Fall 1995						Minority enrollment*	
		Total	Public		Private		High	Low	
			2-year	4-year	2-year	4-year			
Reading, writing, or mathematics	74	78	100	81	63	63	94	76	
Reading	58	57	99	52	29	34	87	53	
Writing	65	71	99	71	61	52	85	70	
Mathematics	68	72	99	78	62	51	93	70	

\* Institutions with high minority enrollment are defined as those in which total student enrollment, excluding nonresident aliens, is less than 50 percent white.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Postsecondary Education Quick Information System, Remedial Education of Higher Education Institutions in Fall 1995, 1996.

Notes:

- A Using the 2001-2002 school year as a baseline, states are required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002-2003 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.) Under the *No Child Left Behind Act*, these targets must increase at least every three years for the next 12 years, when 100 percent of all students within all subgroups are expected to achieve proficiency. Therefore, while the targets listed above are stable, student achievement will actually need to improve steadily in order to meet these goals. States may assess reading achievement in either grade 10, 11 or 12.
- B Using the 2001-2002 school year as a baseline, states are required to set the same annual achievement target for all students and for several student subgroups, starting with the 2002-2003 school year. (This equates to the Department's 2003 fiscal year, which is the first year this indicator can be measured.) Under the *No Child Left Behind Act*, these targets must increase at least every three years for the next 12 years, when 100 percent of all students within all subgroups are expected to achieve proficiency. Therefore, while the targets listed above are stable, student achievement will actually need to improve steadily in order to meet these goals. States may assess mathematics achievement in either grade 10, 11 or 12.
- C Achievement targets: These targets assume a 4 percentage point gain for all students from 1998 to 2007 and an 8 percentage point gain for each subgroup, thus narrowing the achievement gaps. This rate of progress is equivalent to our targets for 4<sup>th</sup> grade reading. (See objective 2.1 for detail about how we set those targets.) "Low-income students" are not included because the data for this subgroup are unreliable at the 12<sup>th</sup> grade level.
- Note: Under the current schedule, NAEP Reading will not be given in 2003, 2004 and 2006.
- D Achievement targets: These targets assume a 4 percentage point gain for all students from 2000 to 2007 and an 8 percentage point gain for each subgroup, thus narrowing the achievement gaps. This rate of progress is equivalent to our targets for 8<sup>th</sup> grade mathematics. (See objective 2.2 for detail about how we set those targets.) "Low-income students" are not included because the data for this subgroup are unreliable at the 12<sup>th</sup> grade level.
- Note: Under the current schedule, NAEP Mathematics will not be given in 2002, 2004 and 2006
- E Achievement targets: These targets assume a 3 percentage point gain for all students from 2000 to 2005 and a 6 percentage point gain for each subgroup, thus narrowing the achievement gaps. This rate of progress is equivalent to our targets for 8<sup>th</sup> grade science. (See objective 2.2 for detail about how we set those targets.) "Low-income students" are not included because the data for this subgroup are unreliable at the 12<sup>th</sup> grade level.
- Note: Under the current schedule, NAEP Science will next be given in 2005.
- F These targets demonstrate a narrowing of the AP participation rate gaps (between all individuals and African Americans/Hispanic Americans) by half. The denominator is the universe of all 12<sup>th</sup> grade students in the U.S.  
Source: The College Board Advanced Placement Program.
- G English exams include AP English Literature & Composition and AP English Language & Composition. Calculus exams include AP Calculus AB and AP Calculus BC; science exams include AP Biology, AP Chemistry, AP Environmental Science, AP Physics B, AP Physics C (Electricity & Magnetism), and AP Physics C (Mechanics). The denominator is the universe of all 12<sup>th</sup> grade students in the U.S; these targets reflect a goal of having more students pass the test, but also of having more students taking AP classes and exams.
- H These targets demonstrate a narrowing of the high school completion gaps (between all individuals and African Americans/Hispanic Americans) by half.  
Source: U.S. Department of Commerce, Bureau of the Census, Current Population Survey.



## Objective 2.4

### Improve teacher and principal quality

The president has called for a quality teacher in every classroom. He has said, “Education reform is empty if it does not take account of the needs of educators. Teachers are not the objects of education reform. They are the engines of education reform. They have a high calling, and we must respect it.” We will work to ensure that all of our nation’s schools have the high-quality teachers they need to boost student achievement, both by recruiting new, highly qualified teachers and by providing current teachers access to rigorous professional development. This is especially critical in schools where many children have been left behind. In addition, we will work to strengthen the leadership corps, as we know from research and experience that strong principals are essential for the improvement of student achievement.

### Strategies for Objective 2.4

**Reduce barriers to teaching for highly qualified individuals.** By supporting programs like Troops to Teachers and Transition to Teaching, we will encourage men and women to enter teaching through alternate routes to certification. We will also encourage states to use their Title II (ESEA) resources to transform their teacher certification systems to strengthen subject mastery standards while simultaneously removing bureaucratic barriers, making it easier for highly qualified individuals to apply for teaching positions. We will actively promote the Department’s loan forgiveness programs for mathematics and science teachers assigned to high poverty schools, and will support its expansion.

**Support professional development in research-based instruction.** We will also work with the states to ensure that all professional development funded through Department programs focuses on research-based instructional practices, is linked to state academic content standards, and is of adequate duration to be effective. We will also encourage induction and mentoring programs for new teachers that are focused on research-based practices.

**Improve the quality of teacher preparation programs.** We will work with the states, institutions of higher education, alternate route programs, and accreditation agencies to dramatically improve the quality of teacher preparation. We will promote sound training in evidence-based reading instruction, as well as other research-based interventions. We will encourage strong preparation within arts and sciences departments to ensure sound content knowledge. The Title II (of the Higher Education Act) reporting system will be improved and teacher certification exams scrutinized so that accountability becomes a reality.

### **Encourage innovative teacher compensation and accountability systems.**

By working with the states and by highlighting promising practices, we will encourage the development of alternative compensation systems (such as those based on student achievement and those allowing differential pay for high-need areas), as well as accountability systems linked to student achievement gains. The Department will examine tenure systems and will promote alternatives. Information about teacher qualifications will be made public to parents through school report cards, as required by *No Child Left Behind*.

**Develop new leadership training models.** The nation's educational system is experiencing an acute shortage of highly qualified school principals. Through Title II of ESEA, the Department will encourage the development of innovative models to transition educators or non-educators into the leadership role. Professional development for existing principals will be supported, especially training in research-based instruction and in using data to inform school improvement.

**Improve schools as workplaces.** The Department will work, through the implementation of this strategic plan, to ensure that schools are safe and disciplined, that teachers and principals have access to high quality professional development, and that they have the freedom to do their jobs. This strategy will improve the attractiveness of teaching and school leadership as careers, and will encourage high quality teachers and principals to continue their valuable service.

**Strengthen the research base.** The Department will invest in rigorous studies related to teacher quality and principal quality to better inform policy making, as well as teacher and principal preparation and professional development.

## **External Factors**

**Teacher and principal certification.** One of the most important factors outside the Department's control is the system of teacher certification. We will encourage the states to streamline their certification systems, strengthen their subject matter standards and open their school doors to qualified individuals from other fields.

## **Performance Measures for Objective 2.4**

We know from research that improving teacher and principal quality will lead to improved achievement, though we also know that measuring “teacher quality” or “principal quality” is very difficult. While research has shown that a few measurable attributes relate to student achievement—such as master's degrees in math or science or teachers' verbal ability—more than 90 percent of a teachers' influence on student achievement goes unexplained. So the best performance measure for this objective is student achievement, as expressed in the indicators for objectives 2.1, 2.2, and 2.3 (achievement on national and state assessments in reading, mathematics, and science, disaggregated by subgroups).

# 3

## Strategic Goal Three: Develop Safe Schools and Strong Character



The terrorist attacks have created a new environment in which we must ensure that our children are safe from threats both foreign and domestic. The Department will work to maintain a safe and drug-free environment in which every child can learn. In addition, as the president has said, “Teaching is more than training, and learning is more than literacy. Our children must be educated in reading and writing—but also in right and wrong.” He quoted Martin Luther King, Jr., who said, “Intelligence plus character—that is the true goal of education.” We will focus the nation’s education system on our children’s hearts, as well as their minds.

### **Objective 3.1**

Ensure that our nation’s schools are safe and drug-free and that students are free of alcohol, tobacco and other drugs.

### **Objective 3.2**

Promote strong character and citizenship among our nation’s youth.

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“First we must do everything in our power to ensure the safety of our children.”

—President George W. Bush

## Objective 3.1

Ensure that our nation's schools are safe and drug-free and that students are free of alcohol, tobacco and other drugs

Teaching and learning to the high standards demanded in *No Child Left Behind* requires that our nation's schools be safe and that our students abstain from the use of alcohol, tobacco and other drugs. In order to ensure that our schools are safe and our students drug-free, the Department of Education will focus on four areas: best practices; data collection and dissemination; coordination of efforts; and addressing safe school priorities in a timely manner.

### Strategies for Objective 3.1

**Focus on results and progress.** The Department will develop and release to the public an annual report detailing the extent and nature of crime in our nation's schools and the extent of alcohol, tobacco and other drug use among our nation's students. We will work to improve the quality of data in this area so that federal, state and local policy makers can make better-informed decisions regarding how to attack these problems.

**Disseminate information on best practices.** The Department will disseminate "best practices" in areas of school safety and alcohol, tobacco, and drug prevention to school districts throughout the country. The Department will also promote the development and use of research that meets standards identified in *No Child Left Behind*.

#### Encourage the revision of school safety plans to reflect new threats.

The Department will encourage schools to revise their school safety plans in light of possible terrorist attacks as well as the recent scourge of mass shootings.



**Ensure that Department activities are coordinated.** To coordinate Department-wide activities, an intra-agency group on school safety will be established. Improved coordination will help ensure that schools are prepared for possible terrorism attacks, gaps in programming are closed, and a uniform strategy is followed. The Department will also spearhead an inter-agency group to coordinate these issues among federal agencies.

## External Factors

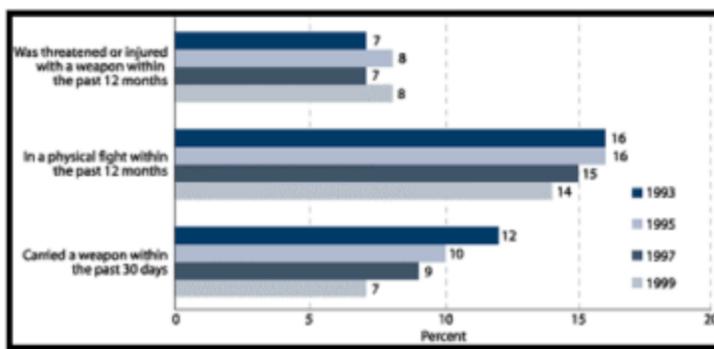
**Families and culture.** We know from research that children develop unhealthy habits, like smoking or drug-use, within the context of their families and communities. The media also contribute to a culture of violence and drug abuse. While these factors are outside the direct control of the Department, we will work to mitigate them. We will help states and local communities make all schools oases of safety and health.

## Performance Measures for Objective 3.1

Objective 3.1: Safe and Drug-Free Schools						
Performance Targets						
Violent Crime at School	'02	'03	'04	'05	'06	'07
The number of violent crimes experienced at school by students ages 12 through 18. (2000 Baseline = 884,100)	876,700	869,400	862,000	854,600	847,200	839,900
The number of serious violent crimes experienced at school by students ages 12 through 18. (2000 Baseline = 185,600)	184,000	182,500	180,900	179,400	177,800	176,300

Source: U.S. Department of Justice, Bureau of Justice Statistics, National Crime Victimization Survey, 1999. "Serious violent crime" includes rape, sexual assault, robbery and aggravated assault. "Violent crime" includes serious violent crime and simple assault. "Serious violent crime" is a subset of "violent crime". These data are collected annually and are analyzed and released two years after collection.

### School Violence: There were 60 school-associated violent deaths in the United States between July 1, 1997 and June 30, 1998—including 47 homicides



As appears in the Condition of Education, 2001. NOTE: The data do not meet NCES standards for response rates. For definitions of the racial/ethnic categories used in this indicator. SOURCE: U.S. Department of Health and Human Services, Public Health Service, Centers for Disease Control and Prevention, National Center for Health Statistics. National Health Interview Survey—Youth Risk Behavior Survey, 1993, 1995, 1997, and 1999.

## Objective 3.1: Safe and Drug-Free Schools

		Performance Targets					
		'02	'03	'04	'05	'06	'07
Drug use	<b>Alcohol.</b> The percentage of youth ages 12-17 who reported using alcohol in the past 30 days. (2000 baseline = 16.4%)	13.2	12.2	11.2	10.2	9.2	8.2
	<b>Tobacco (cigarettes).</b> The percentage of youth ages 12-17 who reported smoking a cigarette in the past 30 days. (2000 baseline = 13.4%)	11.2	10.3	9.4	8.5	7.6	6.7
	<b>Marijuana.</b> The percentage of youth ages 12-17 who reported using marijuana in the past 30 days. (2000 baseline = 7.2%)	5.8	5.3	4.9	4.5	4.0	3.6
	<b>Cocaine.</b> The percentage of youth ages 12-17 who reported using cocaine in the past 30 days. (2000 baseline = .6%)	.40	.37	.34	.31	.28	.25
	<b>Heroin.</b> The percentage of youth ages 12-17 who reported using heroin in the past 30 days. (1999 baseline = .20%)	.16	.15	.14	.12	.11	.10

Note: The source is the National Household Survey on Drug Abuse. The Office of National Drug Control Policy set these targets.

Almost one-third of all students in grades 9 through 12 (32 percent) reported that someone had offered, sold, or given them an illegal drug on school property.<sup>1</sup>

<sup>1</sup> Indicators of School Crime and Safety 2000, NCES, U.S. Department of Education; <http://nces.ed.gov/pubsearch/pubsinfo.asp?pubid=2001017>.

## Objective 3.1: Safe and Drug-Free Schools

Measures		Performance Targets					
Substance Use at School		'02	'03	'04	'05	'06	'07
<b>Alcohol.</b> Percent of high school students who report any alcohol use on school property in the previous 30 days. (2001 Baseline = 5%)		X	5	X	4	X	3
<b>Cigarettes.</b> Percent of high school students who report any cigarette use on school property in the previous 30 days. (2001 Baseline = 14%)		X	14	X	13	X	10
<b>Marijuana.</b> Percent of high school students who report any marijuana use on school property in the previous 30 days. (2001 Baseline = 7%)		X	7	X	6	X	5
<b>Illicit Drugs.</b> Percent of high school students who report being offered, sold, or given an illegal drug on school property in the previous 12 months. (2001 Baseline = 30%)		X	29	X	28	X	27

Source: Youth Risk Behavior Survey, Centers for Disease Control and Prevention, 1999. These data are collected biennially and are analyzed and released one year after collection.

In 1998, students ages 12 through 18 were victims of more than 2.7 million total crimes at school.

Although more victimizations actually happen away from school than at school, that same year, these students were victims of about 253,000 serious violent crimes at school (that is, rape, sexual assault, robbery, and aggravated assault).

## Objective 3.2

Promote strong character and citizenship among our Nation's youth

Recent events have unified our nation and rekindled a spirit of community and patriotism. The Department will build upon this energy to launch a national campaign to promote character development and citizenship in our youth. We will also highlight programs and schools that have demonstrated evidence of improved student safety and the development of character in their students.

### Strategies for Objective 3.2

**Launch a campaign for character.** The Department will launch a national campaign to promote character development and citizenship within the school curriculum, and to remind schools of their patriotic mission.

**Promote effective discipline strategies.** We will share best practices with schools about effective ways to develop disciplined learning environments.

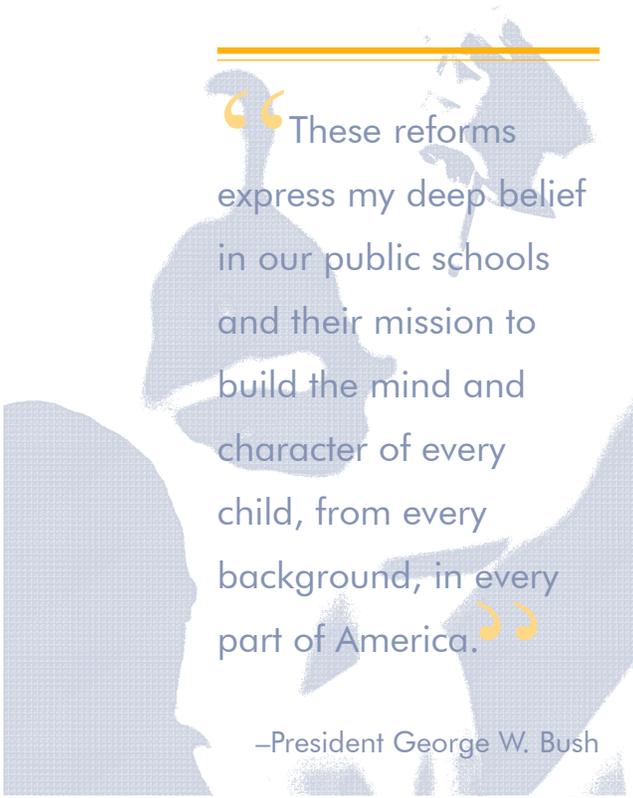
**Partner with faith-based and community organizations.** The Department will work with states to encourage the participation of faith-based and community organizations in federally funded after-school programs, as well as supplementary educational services and other tutoring and mentoring opportunities.

**Support and evaluate character education pilots.** The Department will

fund and will widely disseminate successful models to develop sound character and citizenship, including those that sensitize students to the painful effects of bullying, ridicule, and other forms of disrespect. The Department will support rigorous evaluations of character education interventions to determine their effectiveness.

**Promote the teaching of American history.** The Department will support high quality, traditional American history programs that emphasize well-informed and active citizenship as the foundation of a democratic society.

**Highlight opportunities for civic awareness.** The Department will organize high-profile activities, like the Pledge Across America, to encourage



“These reforms express my deep belief in our public schools and their mission to build the mind and character of every child, from every background, in every part of America.”

—President George W. Bush

attention to patriotism and civic awareness in the nation’s schools. We will encourage the teaching of American ideals and democratic principles throughout the curriculum.

## External Factors

**Commitment of local schools.** More than a separate program, character education should be something woven through the school day, through the curriculum and also through the countless daily interactions between adults and students. We will encourage local educators to make character development a key component of their mission.

## Performance Measures for Objective 3.2

Note: Measuring “character” is intrinsically difficult; these indicators are proxies at best.

Performance Measures for Objective 3.2						
Measures	Performance Targets					
Community Service	'02	'03	'04	'05	'06	'07
Percentage of students in grades 6–12 who participated in community service. (1999 baseline = 52%)	55%	56%	57%	58%	59%	60%

Source: U.S. Department of Education, NCES. *Youth Service-Learning and Community Service Among 6th- Through 12th-Grade Students in the United States: 1996 and 1999* (NCES 2000–028), 2000.

Measures	Performance Targets					
Cheating	'02	'03	'04	'05	'06	'07
Percent of 14 to 18 year olds who believe cheating occurs by half or most students. (2000 baseline = 41%)	40%	39%	38%	37%	36%	35%

Source: State of America’s Youth Survey, Horatio Alger Association.

# 4

## Strategic Goal Four Transform Education into an Evidence-based Field



## **Strategic Goal Four: Transform Education into an Evidence-based Field**

Unlike medicine, agriculture and industrial production, the field of education operates largely on the basis of ideology and professional consensus. As such, it is subject to fads and is incapable of the cumulative progress that follows from the application of the scientific method and from the systematic collection and use of objective information in policy making. We will change education to make it an evidence-based field. We will accomplish this goal by dramatically improving the quality and relevance of research funded or conducted by the Department, by providing policy makers, educators, parents, and other concerned citizens with ready access to syntheses of research and objective information that allow more informed and effective decisions, and by encouraging the use of this knowledge (especially within federal education programs, as explained in Objective 1.4).

### **Objective 4.1**

Raise the quality of research funded or conducted by the Department.

### **Objective 4.2**

Increase the relevance of our research in order to meet the needs of our customers.

## Objective 4.1

Raise the quality of research funded or conducted by the Department

The Department is a primary source of funding for education research. Thus, we have an opportunity and an obligation to ensure that the research funded or published by the Department is of the highest quality. We will develop and enforce rigorous standards, overhaul the peer review process, and focus the Department's research activities on topics of greatest relevance to educational practice.

### Strategies for Objective 4.1

**Develop rigorous standards.** These standards will match those applied by the most respected research journals and scientific research agencies.

**Enforce rigorous standards.** The Department will fund only those research projects that adhere to rigorous research standards.

**Improve peer review of research proposals.** The Department will improve the peer review process by articulating clear standards and by enlisting only those qualified scientists who have high levels of methodological and substantive expertise pertinent to the projects being reviewed.

**Develop editorial review.** We will create an editorial review board for all Department research publications to ensure that they meet the highest standards of scientific rigor before their publication.

### External Factors

**Authorizing and appropriations statutes.**

The Department's ability to set research priorities, revamp its peer review process, and demand greater quality and rigor from grantees is limited by the statutes authorizing the Office of Educational Research and Improvement and the Office of Special Education and Rehabilitative Services, as well as legislative mandates within appropriations bills. Through reauthorization of these statutes we will work with Congress to create the flexibility that high quality research agencies need.



## Performance Measures for Objective 4.1

Objective 4.1 Quality and Rigor of Department-funded Research							
		Performance Targets					
		'02	'03	'04	'05	'06	'07
Quality as Judged by Independent Review	<b>Projects.</b> The percentage of new research and evaluation projects funded by the Department that are deemed to be of high quality by an independent review panel of qualified scientists.*	Base Line + 25 PP	Base Line + 50 PP	95	95	95	95
	<b>Publications.</b> The percentage of new Department research and evaluation publications that are deemed to be of high quality by an independent review panel of qualified scientists.*	Base Line + 25 PP	Base Line + 50 PP	95	95	95	95
Use of Randomized Experimental Designs	<b>Projects.</b> Of new research and evaluation projects funded by the Department that address causal questions, the percentage that employ randomized experimental designs.*	Base Line + 10 PP	Base Line + 25 PP	75	75	75	75
	<b>Publications.</b> Of new research and evaluation publications funded by the Department that address causal questions, the percentage that describe studies that employ randomized experimental designs.*	Base Line + 10 PP	Base Line + 25 PP	75	75	75	75

PP = Percentage Points

\* These would include all research and evaluation studies initiated by any office within the Department, but would exclude collections of statistics. The independent review panel referenced here is different than the peer review panels that oversee the selection of projects. This panel would be convened at the close of the fiscal year and would review projects and publications after-the-fact as a way to judge the effectiveness of the Department's quality control mechanisms.

## Objective 4.2

Increase the relevance of our research in order to meet the needs of our customers

The Department will seek to understand the needs of our primary customers—federal, state and local policy makers, educators, parents and individuals with disabilities—and will ensure that our research is relevant to those needs. The Department will ensure that high-quality research—whether or not it is funded by the Department—is synthesized, publicized, and disseminated widely. In order to facilitate access to high-quality research, the Department will create and regularly update an online database of scientifically rigorous research on what works in education. The Department also will create user-friendly syntheses of quality research that communicate effective practices to a wide audience.

### Strategies for Objective 4.2

**Survey decision makers.** The Department will periodically conduct fast-response surveys of Congressional staff, governors' aides, chief state school officers, state higher education officers, school administrators, and individuals in other major categories of education decision makers to determine the issues about which they most need evidence.

**Create and maintain the What Works Clearinghouse.** The Department will create and maintain an online database of quality research on topics relevant to educational practice, as determined in part by the fast response surveys. (High quality research will be included whether the Department funded it or not.) Users will be able to ascertain the quantity, quality, relevance, and direction of the evidence with respect to a wide and expanding range of topics.

**Translate research results so they are applicable to the classroom.** The Department will create and distribute user-friendly syntheses of quality research that bear on significant problems in educational practice.

**Develop guides for evidence-based education.** The Department will create a variety of materials for dissemination on how to engage in evidence-based education, including conferences and other public events.



**Increase focus.** We will focus our efforts on a select group of significant priorities, so that a solid research base can be developed in critical areas.

**Allocate resources in response to needs.** The Department will reserve resources annually to respond with research evidence on emerging high priority policy issues.

## External Factors

**Legislative mandates.** Language within authorizing and appropriations statutes often limits our ability to target research dollars to high-need areas. Through reauthorization, we will work with Congress to ensure greater flexibility so that we can respond to our customers' needs.

## Performance Measures for Objective 4.2

Objective 4.2 Meeting Needs of our Customers							
Performance Targets							
		'02	'03	'04	'05	'06	'07
Relevance as Judged by Independent Review	The percentage of new research projects funded by the Department that are deemed to be of high relevance to educational practice as determined by an independent review panel of qualified practitioners.*	Base Line + 20 PP	Base Line + 30 PP	75	75	75	75**
What Works Clearing-house	The number of hits on the What Works Clearinghouse Web site.***	Base Line	Base Line x2	Base Line x4	Base Line x8	Base Line x16	Base Line x32
Decision Maker Survey	The percentage of K-16 policymakers and administrators who report routinely considering evidence of effectiveness before adopting educational products and approaches.	Base Line	50	60	70	80	90
	The percentage of policymakers and school administrators who report that they use research products of the Department in policy-making decisions.	Base Line	25	50	60	70	80

\*The independent review panel referenced here is different than the peer review panels that oversee the selection of projects. This panel would be convened at the close of the fiscal year and would review projects and publications after-the-fact as a way to judge the effectiveness of the Department's quality control mechanisms.

\*\*This target demonstrates recognition that some important research will be funded that may not seem highly relevant in the moment but will make contributions over the long term.

\*\*\* We hope to add a "customer satisfaction" indicator; once the clearinghouse is operational and the technology is in place, we will consider doing so

# 5

## Strategic Goal Five Enhance the Quality of and Access to Postsecondary and Adult Education



The Department provides support for enhancing the quality of and access to postsecondary and adult education and employment in multiple ways. The Department's programs provide financial aid to increase access to college; help institutions of higher education improve their quality; provide mentoring and tutoring services to help students master the knowledge needed to get into and complete college; inform middle and high school students about what it takes to go to college; provide needed support to help people with disabilities achieve employment; and provide support to adults in meeting more basic educational needs. The Department will work to improve the effectiveness of all institutions, including four-year schools, community colleges, technology-based programs and others.

### **Objective 5.1**

Reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all.

### **Objective 5.2**

Strengthen accountability of postsecondary institutions.

### **Objective 5.3**

Establish effective funding mechanisms for postsecondary education.

### **Objective 5.4**

Strengthen Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities.

### **Objective 5.5**

Enhance the literacy and employment skills of American adults.

## Objective 5.1

Reduce the gaps in college access and completion among student populations differing by race/ ethnicity, socioeconomic status, and disability while increasing the educational attainment of all

The economy of the 21<sup>st</sup> century requires more workers than ever to develop skills and master knowledge beyond the high-school level. Although progress has been made over the years to increase participation and graduation levels for all individuals, large gaps still exist between low-income and middle- and high-income students, between minority and non-minority students, and between students with disabilities and their non-disabled peers. In the year 2000, according to NCES data, 65.7 percent of white youth aged 16 to 24 enrolled in college the fall following high school graduation, while only 54.9 percent of their African American peers and 52.9 percent of their Hispanic peers were similarly enrolled. Graduation rates show similar gaps. The Department will work to close these gaps through its student financial aid and institutional aid programs. In addition, the Department will continue its efforts to enhance preparation for college, increase knowledge about college preparation and financial aid availability, and improve college support services for students from all economic and social backgrounds.

### Strategies for Objective 5.1

**Improve the performance of the K-12 system.** As expressed throughout this plan and within the *No Child Left Behind* Act, the Department will work to improve student achievement at the elementary and secondary levels. These improvements will contribute to a closing of the college participation and graduation gaps.

**Enhance efforts to prepare low-income and minority youth for college.** The Department will expand efforts with states, postsecondary institutions, and local schools through our postsecondary programs to foster the academic preparation of low-income and minority students. We will provide better academic support, information about postsecondary costs and financing, and other assistance to low-income and minority youth.

**Increase communication about postsecondary opportunities.** We will ensure that all middle and high school students and their parents are knowledgeable about (1) academic and financial preparation necessary for pursuing postsecondary education, (2) the process for applying to college, and (3) the availability of financial aid. We will disseminate easy-to-understand information and provide other postsecondary preparatory services to a broader range of students and families beginning in middle school and continuing through high school.

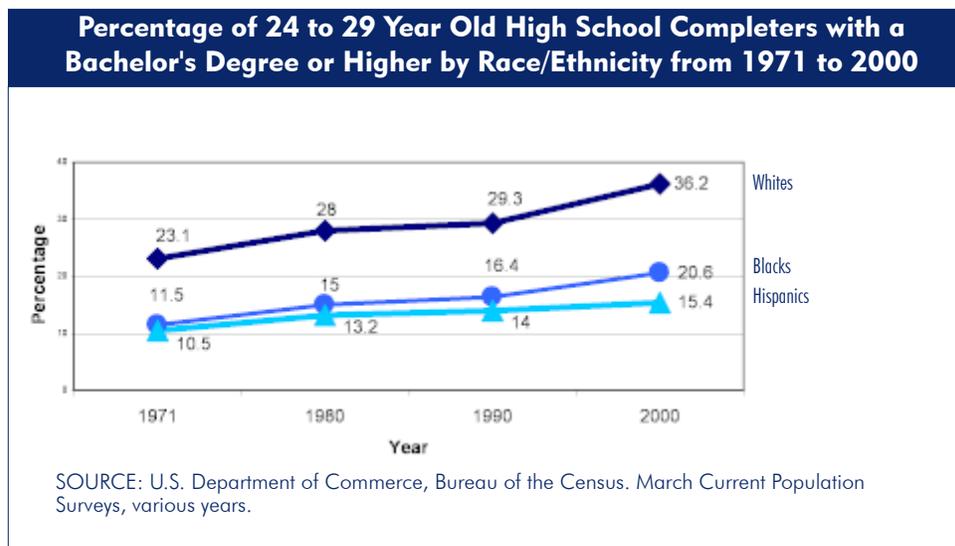
**Improve support services.** The Department will increase postsecondary completion rates by improving the effectiveness of support services for low-income and minority students.

**Highlight effective strategies for nontraditional students.** We will support the development of innovative instructional strategies for nontraditional or part-time students, including the use of technology, distance-learning, or community college education.

**Provide support to students with disabilities.** The Department will identify and disseminate policies and practices that increase access to and completion of postsecondary education by students with disabilities.

## External Factors

**Parental Influence.** The level of encouragement and support provided by parents to their children will greatly influence our ability to reduce participation and graduation gaps. Through outreach programs we will work to ensure that all parents and students have the information they need to aim for postsecondary education.



## Performance Measures for Objective 5.1

### Objective 5.1 College Access and Achievement

Measure	FY 1998 Baseline)	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Percentage of 16-24 year-old high school graduates enrolled in college the October following graduation.							
Overall	63.3	63.8	64.1	64.5	64.9	65.2	65.5
White	66.8	66.9	67.0	67.1	67.2	67.3	67.4
Black	58.6	59.6	60.3	61.0	61.8	62.6	63.2
<i>White-Black Gap</i>	8.3	7.3	6.7	6.1	5.4	4.7	4.2
Hispanic	47.4	50	51.5	53.1	54.6	56.0	57.2
<i>White-Hispanic Gap</i>	19.5	16.9	15.5	14	12.6	11.3	10.2
Low-Income	48.5	51.5	53.5	56.5	58.5	60.5	63.2
High-Income	76.8	76.9	77.0	77.1	77.2	77.3	77.4
<i>Income Gap</i>	28.3	25.4	23.5	20.6	18.7	16.8	14.2
The national percentage of full-time, bachelor degree-seeking students who graduate within six years, and the percentage of full-time, two-year degree-seeking students who graduate, earn a certificate, or transfer to a four-year school within three years.							
<b>4-Year Institutions</b>							
All	52.6	52.7	53.1	53.6	54.0	54.4	54.7
White	55.8	56	56.1	56.2	56.3	56.4	56.5
Black	34.5	37	38.9	40.9	42.8	44.6	46.4
<i>White-Black Gap</i>	21.3	19	17.2	15.3	13.5	11.8	10.1
Hispanic	39.1	41	42.5	44.1	45.6	47	48.2
<i>White-Hispanic Gap</i>	16.7	15	13.6	12.1	10.7	9.4	8.3
<b>2-Year Institutions</b>							
All	32.2	32.5	32.7	33.0	33.2	33.4	33.7
White	33.8	34.0	34.1	34.2	34.3	34.4	34.5
Black	25.1	26.3	27	27.8	28.6	29.4	30.2
<i>White-Black Gap</i>	8.7	7.7	7.1	6.4	5.7	5.0	4.3
Hispanic	29.9	30.5	30.8	31.2	31.6	32	32.5
<i>White-Hispanic Gap</i>	3.9	3.5	3.3	3.0	2.7	2.4	2.0

Note: Three-year averages are used to help smooth out yearly fluctuations. The Department is considering adding an annual collection of these data for students with disabilities.

Source: October Current Population Survey (CPS) conducted by the Census Bureau.

Note about targets: These projections illustrate a goal of cutting the various gaps in half from 2002-2007.

Source: Graduation Rate Survey (GRS) conducted by NCES as part of the Integrated Postsecondary Data System (IPEDS).

Note: The Department is considering adding an annual collection of these data for students with disabilities.

Note about targets: These projections illustrate a goal of cutting the various gaps in half from 2002-2007.

## Objective 5.1 College Access and Achievement

Measure	FY 1999 (Baseline)	FY 2001	FY 2003	FY 2005	FY 2007
<b>Awareness of Financial Aid.</b> The percentage of parents of students in middle and high school who talked with a counselor about the availability of financial aid for postsecondary study.*					
<b>Middle-School</b>					
All	27	28	29	30	31
Low-income	23	25	27	29	31
High-income	30	30.2	30.4	30.7	31
<i>Income Gap</i>	7	5.2	3.4	1.7	0
<b>High-School</b>					
All	48	49.5	50.5	51.3	53
Low-income	39	42.5	46	49.5	53
High-income	52	52.2	52.4	52.7	53
<i>Income Gap</i>	13	9.7	6.4	3.2	0
<b>Awareness of Academic Requirements.</b> The percentage of parents of students in middle and high school who talked with a counselor about the academic requirements for postsecondary study.*					
<b>Middle-School</b>					
All	10	10.8	11.6	12.4	13
Low-income	8	9	10.5	11.7	13
High-income	12	12.2	12.4	12.7	13
<i>Income Gap</i>	4	3.2	1.9	1	0
<b>High-School</b>					
All	38	40	43	46	49
Low-income	28	33	38	43.5	49
High-income	48	48.2	48.4	48.7	49
<i>Income Gap</i>	20	15.2	10.4	5.2	0

\* Among parents who indicated they expected their child to attend college.  
 Source: National Household Education Survey conducted by NCES.  
 Note: These data are not available by race/ethnicity.

## Objective 5.2

### Strengthen accountability of postsecondary institutions

Although American institutions of higher education are among the best in the world, the public and many policymakers are especially concerned about the effectiveness of postsecondary institutions in two areas: preparing high-quality teachers and completing the education of students within a reasonable time. An effective strategy for ensuring that institutions are held accountable for results is to make information on student achievement and attainment available to the public, thus enabling prospective students to make informed choices about where to attend college and how to spend their tuition dollars.

Addressing widespread concern about the quality of new teachers, Congress established an accountability system for teacher preparation programs in Title II when reauthorizing the Higher Education Act (HEA) in 1998. This system provides for the first time basic information on the quality of teacher program completers. Public and Congressional critics of this system note, however, that it needs to be strengthened to produce information that is more useful to the public and policy makers. As part of the next reauthorization of HEA, the Department will recommend refinements to this system.

Congress also has addressed concerns about the effectiveness of postsecondary institutions in graduating students in a timely fashion. In amendments to the HEA in 1992, Congress required institutions of higher education to report the proportions of their students who complete their educational programs. Critics have pointed out that these measures are not effectively integrated into accountability systems in most states, and thus are not routinely used in evaluating postsecondary institutions. In the next reauthorization, the Department will recommend steps to strengthen the usefulness of these measures so that they can be incorporated into state accountability systems. Successfully meeting this objective will require the cooperation of the postsecondary community, the states and Congress.

## Strategies for Objective 5.2

**Refine the Title II accountability system.** We will build on the successes of the Higher Education Act's Title II reporting system for teacher preparation programs and make it more effective. The Department will continue to work with Congress, the states and institutions in standardizing data definitions and elements. (See objective 2.4 for more details about our strategies to boost teacher quality and improve teacher preparation.)

**Create a reporting system on retention and completion that is useful for state accountability systems.** The Department will work with Congress, the states and institutions to expand the current student retention and completion reporting system for institutions of higher education so that data are available by race, gender, ethnicity, disability, and federal-aid recipient status. We will work to include community colleges in the system, but will allow indicators of completion that include transfer rates to four-year colleges (and do not penalize institutions for serving part-time students).

## Performance Measures for Objective 5.2

Objective 5.2 Accountability of Postsecondary Institutions							
Measure	FY 2001 (Baseline)	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
The percentage of states and territories submitting Title II reports with all data reported using federally required definitions.	63	80	100	100	100	100	100
The percentage of states with comprehensive reporting systems for colleges and universities that include student retention data and graduation rates for four-year degree seekers after 4, 5 and 6 years; graduation rates for two-year degree and certificate seekers after 2 and 3 years; and transfer rates for students at 2-year and 4-year institutions, disaggregated by student demographic factors such as race, gender, ethnicity, disability, and federal aid versus non-federal aid recipient.	Baseline	50	60	70	80	90	100

## Objective 5.3

### Establish effective funding mechanisms for postsecondary education

The financing of postsecondary education continues to be a challenge for many students and their families. According to the College Board, the average costs of attendance for 2001-2002 are \$17,123 for four-year private institutions (up 5.5 percent from the previous year); \$3,754 in four-year public institutions (up 7.7 percent from the previous year); and \$1,738 for two-year public institutions (up 5.8 percent from the previous year). With tuitions rising faster than inflation, students are borrowing more money than in the past to attend college. The median student federal loan amount tripled between 1990 and 1999, rising from \$4,000 to \$11,199, and students are increasingly turning to non-federal sources of loans including credit cards to pay college expenses. These trends are occurring even though funding for Pell Grants, Supplemental Educational Opportunity Grants and other campus-based aid programs continue to grow.

In response to the concerns about the price of college, the Department will create a study group to examine the factors that contribute to the rising costs of postsecondary education. Through the study group, the Department will seek ideas and suggestions for achieving cost efficiencies and cost reductions among postsecondary institutions. The group will also consider effective funding strategies for nontraditional and part-time students, including those participating in distance learning via technology. The Department will then disseminate the findings. In addition, the Department will continue to work toward a more efficient Title IV aid process for the benefit of all parties participating in these programs.

### Strategies for Objective 5.3

**Investigate postsecondary funding strategies.** The Department will assemble a study group of financial aid experts, financial officers of postsecondary institutions, college presidents, trustees, parents, students and Department staff to make recommendations for achieving cost efficiencies and cost reductions at postsecondary education institutions, as well as reducing unmet need and borrower indebtedness.

**Improve the efficiency of the Title IV aid process.** The Department will work to improve the efficiency of the Title IV aid process through streamlining requirements, reducing data burden and simplifying programs.

## External Factors

**College prices and costs.** Many factors affecting college prices (tuition and fees, room and board), costs and revenues are well beyond the control of the Department, including state appropriations and costs related to salaries, facilities/maintenance expenses, health care and insurance. However, we can create a forum for identifying the rising prices of colleges and universities and for identifying cost reduction measures that have proven successful at individual institutions and businesses, and highlight those practices for consideration and replication by similar postsecondary institutions.

## Performance Measures for Objective 5.3

Objective 5.3 Effective Funding Mecanisms								
Measure	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
Average national increases in college tuition, adjusted for inflation	—	3.1% (Baseline)	3.1%	3.0%	2.9%	2.8%	2.7%	2.6%
Unmet need as % of cost of attendance for low-income dependent students	43.1* (baseline)	N/A	42**	41**	40	39**	38**	37**
Unmet need as % of cost of attendance for low-income independent students with children	60.6* (baseline)	N/A	59**	58**	57	56**	55**	54**
Unmet need as % of cost of attendance for low-income independent students without children	64.2* (baseline)	N/A	63**	62**	61	60**	59**	58**
* Preliminary estimates from unreleased NPSAS 2000 ** NPSAS is only collected every four years so estimates will have to be made for intervening period								
Borrower indebtedness and average borrower payments (for federal student loans) as a percentage of borrower income	—	—	Less than 10 % in first year of repayment	Less than 10 % in first year of repayment	Less than 10 % in first year of repayment	Less than 10 % in first year of repayment	Less than 10 % in first year of repayment	Less than 10 % in first year of repayment

Note: In 1998, the median debt burden was 7.1% of borrower income.

Source: Federal loan records from the National Student Loan Data System (NSLDS) merged with income data from the Internal Revenue Service.

## Objective 5.4

Strengthen Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities

An important strategy in closing the gap between low-income and minority students and their high-income, non-minority peers is to strengthen the quality of educational opportunities in institutions dedicated to serving low-income and minority students. Through various programs and initiatives, the Department promotes the quality of institutions serving low-income and minority students.

There is more, however, that can and should be done by the Department to offer access to information, training and technical assistance opportunities that contribute to the fiscal soundness of these institutions.

### Strategies for Objective 5.4

**Offer technical assistance for planning, implementation, and evaluation.** The Department will improve efforts to assist Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs) and Tribal Colleges and Universities (TCUs) in long-term financial planning, capacity-building and institutional sustainability.

**Assist in promoting the technology infrastructure of institutions serving low-income and minority students.** We will focus guidance to HBCUs, HSIs and TCUs on developing a 21<sup>st</sup> century technology infrastructure.



**Collaborate with HBCUs, HSIs and TCUs on K-12 improvement efforts.** The Department will involve these institutions in professional development and teacher preparation opportunities related to *No Child Left Behind*.

## Performance Measures for Objective 5.4

Objective 5.4 HBCUs, HSIs and TCUs								
Measure	FY 1999	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
The percentage of HBCUs, HSIs and TCUs with a positive fiscal balance.	69 Baseline	N/A	74	79	84	89	94	99
The percentage of HBCU's HSI's and TCU's with evidence of increased technological capacity (such as wireless systems, high speed Internet connections, distance learning programs, or other evidence of technological innovation).			Baseline	Baseline + 10 PP	Baseline + 20 PP	Baseline + 30 PP	Baseline + 40 PP	Baseline + 50 PP

PP = Percentage Points

## Objective 5.5

Enhance the literacy and employment skills of American adults

National surveys indicate that between 70 and 90 million adults in the United States have Limited-English literacy skills that inhibit their ability to support their families and exercise other important social responsibilities. Shockingly, this includes an estimated ten million high school graduates and 1.5 million college graduates. Current classroom-based services reach only about three million individuals with adult basic education and English literacy services. Combined with education services delivered through other social services for adults, only a fraction of the need for enhanced literacy is being addressed. Working with state and local partners, we will develop new models of flexible, high-quality basic education and English literacy services to help a larger percentage of America's adult population, including individuals with disabilities, receive the literacy skills they need for workplace learning, postsecondary learning and lifelong personal and career growth. We will also work with state vocational rehabilitation programs, other federal agencies and others to improve employment outcomes for adults with disabilities and will aggressively implement the president's New Freedom Initiative.

### Strategies for Objective 5.5

**Invest in research on adult literacy and English acquisition.** Working with the National Institute of Child Health and Human Development and the National Institute for Literacy, the Department will invest in rigorous research on adult reading strategies, family literacy, English language acquisition, and literacy-related learning disabilities.

**Develop strong research-to-practice models.** Building from new research, the Department will develop effective strategies to help adult education teachers, volunteers, community-based organizations and other social service programs understand research findings and integrate them into locally run classes and programs.

**Develop high-quality community- and faith-based models.** We will invest in pilot sites to develop new models of collaboration between well-trained adult education teachers, volunteers and other community resources like libraries. These partnerships will link adult education and other government social services for adults needing enhanced literacy skills with local resources of faith-based and community-based organizations and businesses that support workplace education.

**Develop technology solutions.** We will continue to invest in the development of adult education diagnostic and instructional technologies that can be used by social services, one-stop career centers, and community-based technology centers. We will also support and promote research and innovation in the development and use of technology for improving employment and living skills for people with disabilities.

**Implement performance standards.** We will work with State vocational rehabilitation (VR) agencies to ensure implementation of VR standards that will assist individuals with disabilities in obtaining high-quality employment outcomes.

**Fund demonstration projects.** We will support demonstration, evaluation, research, and training activities that enhance literacy and employment skills of adults with disabilities.

## Performance Measure for Objective 5.5

Objective 5.5 Literacy and Employment Skills							
		Performance Targets					
		'02	'03	'04	'05	'06	'07
Adult Literacy	The percentage of adults reading at the lowest level of literacy in national adult literacy assessments. * (1992 Baseline = 21%)	19	X	17	X	15	X
Employment of Individuals with Disabilities	The percentage of all persons served by State VR agencies who obtain employment. (2000 Baseline = 62.5%)	63	63.5	64	64.5	65	65.5

\* Source: Periodic national surveys of Adult Literacy. The National Assessments of Adult Literacy (NAAL) will be conducted in 2002. For this indicator, we are measuring "prose" literacy. These targets may need to be adjusted pending the results of the 2002 study. The Department is considering adding a biennial collection of these data.

# 6

## Strategic Goal Six: Establish Management Excellence throughout the Department of Education



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“There is an understandable temptation to ignore management reforms in favor of new policies and programs. However, what matters most is performance.”

—President George W. Bush

In order to create a culture of achievement throughout the nation's educational system, we must first create a culture of accountability within the Department. We will do so by aggressively implementing the President's Management Agenda, including his initiative on community- and faith-based organizations. Through our work to create a culture of accountability and establish management excellence, we will earn the President's Quality Award.

### **Objective 6.1**

Develop and maintain financial integrity and management and internal controls.

### **Objective 6.2**

Improve the strategic management of the Department's human capital.

### **Objective 6.3**

Manage information technology resources, using e-gov, to improve service for our customers and partners.

### **Objective 6.4**

Modernize the Student Financial Assistance programs and reduce their high-risk status.

### **Objective 6.5**

Achieve budget and performance integration to link funding decisions to results.

### **Objective 6.6**

Leverage the contributions of community- and faith-based organizations to increase the effectiveness of Department programs.

### **Objective 6.7**

By becoming a high performance, customer-focused organization, earn the President's Quality Award.

# Objective 6.1

Develop and maintain financial integrity and management and internal controls

The first step to management excellence is to provide managers and external stakeholders with timely financial information to aid them when making programmatic and asset-related decisions. Financial integrity also means that we maintain effective internal controls to reduce the risk of errors and permit effective monitoring of programs and processes and that employees assume responsibility for identifying and addressing problems.

## Strategies for Objective 6.1

**Update and integrate financial systems.** We will implement a new financial system capable of producing timely and reliable financial data and reconcile systems to the general ledger.

**Prepare financial statements to provide leading data on Department performance.** The Department will create quarterly financial statements to track financial performance against agreed upon budgets.

**Analyze data to reduce fraud.** The Department will create data analysis capabilities within financial and program management systems and will refer any cases of suspected fraud to the Inspector General's office.

**Review existing internal controls and implement changes where necessary.** These efforts will include processes for monitoring and holding grantees, contractors, guarantors and lenders accountable and closing open audit recommendations.

**Increase the use of performance-based contracting.** Contractors will be held accountable to objective performance criteria.



## Performance Measures for Objective 6.1

Objective 6.1 Financial Integrity and Internal Controls						
Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
The achievement of an unqualified audit opinion.	Yes	Yes	Yes	Yes	Yes	Yes
The financial management grade received on "report card" by the Subcommittee on Government Efficiency, Financial Management and Intergovernmental Relations.	C	B	A	A	A	A
The number of audit recommendations from prior year financial statement audits remaining open.	8 open recommendations	7	6	5	4	3
The percentage of performance-based contract actions.	20% of contract actions; 48% of eligible service contract dollars	25% of contract actions; 50% of eligible service contract dollars	30% of contract actions; 50% of eligible service contract dollars	35% of contract actions; 50% of eligible service contract dollars	40% of contract actions; 60% of eligible service contract dollars	45% of contract actions; 70% of eligible service contract dollars
The amount of erroneous payments.	Set and validate the baseline	Baseline minus 20 %	Baseline minus 30 %	Baseline minus 40 %	Baseline minus 50 %	Baseline minus 60 %
The number of erroneous payments.	Baseline minus 10 %	Baseline minus 20 %	Baseline minus 30 %	Baseline minus 40 %	Baseline minus 50 %	Baseline minus 60 %
The Federal administrative cost per grant transaction.	Baseline minus 10 %	Baseline minus 20 %	Baseline minus 30 %	Baseline minus 40 %	Baseline minus 50 %	Baseline minus 60 %

## Objective 6.2

### Improve the strategic management of the Department's human capital

A key element of creating a Department-wide culture of performance excellence and accountability is the strategic investment in human capital. The Department will develop and carry out a plan for human capital management that supports the Department's mission by ensuring that skilled, high-performing employees are available and deployed appropriately. This plan will be supported by a competitive sourcing plan that ensures that services are provided at a maximum level of cost effectiveness. We will delayer the organization and ensure that our work is citizen-centered.

### Strategies for Objective 6.2

**Identify and obtain needed skills.** The Department will continue its efforts to identify core work competencies and develop and implement strategies to close skills gaps. We will encourage managers to utilize all the tools at their disposal to recruit and hire highly qualified individuals.

**Improve employee performance and accountability.** The Department will help to ensure high employee performance and accountability by improving management training in these areas and by strengthening the Department's employee performance appraisal system and related processes. Managers will be given the freedom to manage and will be held accountable for results. A new award system will be developed that will provide recognition and bonuses to individuals and teams who do outstanding work related to the strategic plan.

**Improve core processes related to human capital management.** The Department will re-engineer key human capital processes and ensure that it has the resources to assist the Department in addressing its human capital challenges. Specifically, we will revamp our hiring system so that managers may bring on high quality employees in a timely fashion. We will delayer the bureaucracy.

**Improve the use of competitive sourcing.** The Department will identify new opportunities for competitive sourcing in order to augment the organization's capabilities.

## Performance Measures for Objective 6.2

Objective 6.2 Strategic Management of Human Capital						
Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
ED employees are focused on results and show interest in improving the services of their organization. *	52% <sup>1</sup>	56%	60%	64%	69%	75%
ED employees hold their leaders in high regard. *	56% <sup>2</sup>	60%	68%	75%	80%	80%
ED employees believe that their organization has set high but realistic results-oriented work expectations for them. *	62% <sup>3</sup>	65	68%	71%	75%	75%
Employees believe that their organization supports their development and expects them to improve their skills and learn new skills to do their jobs better. *	71% <sup>4</sup>	72%	73%	75%	75%	75%
ED meets skills gap reduction targets included in its human capital management plan.	Baseline	TBD	TBD	TBD	TBD	TBD
The percentage of managers satisfied with services received from OM when hiring staff.	Baseline	70	75	80	85	90
ED meets its annual goals for competitive sourcing.	Compete 43 positions	Compete 86 positions	Compete 152 <sup>5</sup> positions	Compete 152 <sup>6</sup> positions	TBD	TBD

\* Performance measure recommended by OPM Human Capital Scorecard. Data collection instrument currently being developed by OPM. Adoption and use of this instrument will allow for updated baselines and benchmarking for purposes of setting targets using data gathered from other federal agencies, government-wide averages and highs and private sector survey participants.

1 survey respondents who agree "employees have a feeling of personal empowerment and ownership of work processes."

2 survey respondents who favorably responded to, "Overall, how good a job do you feel is being done by your immediate supervisor/team leader?" Government-wide high score reported at 71%.

3 survey respondents who agree "managers set challenging and attainable performance goals."

4 survey respondents who agree "employees receive the training they need to perform their jobs." Government-wide high score reported at 75%.

5 '04 competitive sourcing target based on estimate of progress needed to meet the existing target for 2005. All targets will be reviewed during a comprehensive human capital management planning process to be completed in June 2002.

6 '05 competitive sourcing target based on current policy decision to compete 50% of FY 2000 FAIR Act inventory (866 positions) by 2005.

## Objective 6.3

Manage information technology resources, using e-gov, to improve services for our customers and partners

The Department must leverage information technology to perform its business functions more efficiently and to better serve our partners, internal customers and external customers. Improved Department accountability requires that we effectively manage IT investments, protect data integrity and confidentiality, improve data management and increase our effectiveness in the use of technology in customer service. We will use information technology to support effective business processes and we will improve and simplify ineffective business processes before applying information technology. We will prioritize IT investments across program offices based on our prioritization of the Department's business needs. Re-engineered business processes will ensure that state and local educational institutions and institutions of higher education can communicate effectively with the Department without undue burden. We will assure confidentiality and accessibility.

### Strategies for Objective 6.3

#### **Encourage customers to conduct business with the Department on-line.**

The Department will implement productivity improvements through implementation of e-gov applications, customer relationship management, supply chain management and knowledge management best practices, while at the same time protecting the privacy of our customers.

**Ensure security of the IT infrastructure.** We will periodically update and validate the General Support Systems (GSS) and Major Applications (MA) Inventory. For each GSS and MA, assure a current risk assessment and security plan and that certification and accreditation are in place.

#### **Reduce our partners' data reporting burden.**

The Department will minimize burden on our partners and improve the quality of federal data by implementing a performance-based data management initiative. We will collect data once and use it in many ways. We will consolidate our



data collections and data storage. With our stakeholders and customers, we will collaboratively build and publish data standards, including consensus data elements and definitions. The enterprise architecture will be structured to meet business needs. (See Objective 1.2 for more on this topic.)

**Complete enterprise architecture.** The Department will create a business-focused enterprise architecture that describes long-term information system requirements and prioritizes IT business needs based on Strategic Plan Goals and Objectives.

## Performance Measures for Objective 6.3

Objective 6.3 Manage Information Technology Resources						
Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
The percentage of significant IT investments that achieve less than a 10% variance of cost and schedule goals.	50	60	75	75	75	75
Percent customer ratings of ED IT services "good" or better.	Baseline	Baseline + 5 PP	Baseline + 10 PP	Baseline + 15 PP	Baseline + 20 PP	Baseline + 25 PP
The OMB burden hour estimates of Department program data collections per year. (2001 baseline = 40.5 million)	40M	38M	35M	30M	25M	20M

PP = Percentage Points  
M = Million

## Objective 6.4

Modernize the Student Financial Assistance programs and reduce their high-risk status

While Student Financial Assistance has made some progress in recent years in modernizing its systems, it remains on the General Accounting Office's high-risk program list. It is also the only Department program identified for corrective action by the President's Management Agenda. The Department, in partnership with SFA, will continue to improve and integrate its financial and management information systems to manage the student aid programs effectively. We will reduce the programs' vulnerability to fraud, waste, error and mismanagement.

### Strategies for Objective 6.4

**Create an efficient and integrated delivery system.** We will use new technologies and integrate systems by eliminating, consolidating, and redesigning the thirteen current legacy systems to improve service, cut costs and reduce the improper payment of student aid funds.

**Improve program monitoring.** The Department will strengthen financial management and internal controls so that relevant, timely information is available to manage day-to-day operations. We will improve technical assistance and increase program monitoring.

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“Government likes to begin things—to declare grand new programs and causes. But good beginnings are not the measure of success. What matters in the end is completion. Performance. Results. Not just making promises, but making good on promises. In my Administration, that will be the standard from the farthest regional office of government to the highest office in the land.”

—President Bush

(opening letter to the President's Management Agenda)

## Performance Measures for Objective 6.4

Objective 6.4 Modernize Student Financial Assistance Programs						
Measure	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007
By 2003, Student Financial Assistance will leave the GAO high-risk list and will not return.	Accomplish SFA High Risk Plan	Leave GAO High Risk List	Maintain Prior Year Result	Maintain Prior Year Result	Maintain Prior Year Result	Maintain Prior Year Result
Default recovery rate.* (2001 Baseline=7.8%)	7.2%	7.6%	8.0%	8.5%	9%	9.5%
Pell Grants overpayments. (2001 Baseline = 138 Million)	138M	110M	97M	83M	69M	55M
Timeliness of SFA major system reconciliations to the general ledger.	Reconciled within 45 days of the end of the calendar month.	TBD**	TBD**	Reconciled within 5 days of the end of the calendar month.	Maintain Prior Year Result	Maintain Prior Year Result
Customer service (measures of service levels of targeted SFA transactions with public).	TBD	TBD	TBD	TBD	TBD	TBD
Integration of SFA systems.	100% of 2002 integration targets met; goals established for 2003-2007.	TBD	TBD	TBD	TBD	TBD

M = Million

\* Defined as the sum of SFA's collections on defaulted loans—less consolidations—divided by the outstanding default portfolio at the end of the previous year.

\*\* System and operational plans to be developed in FY 2002; targets will be set for 2003 and 2004 upon completion of these plans.

## Objective 6.5

Achieve budget and performance integration to link funding decisions to results

The Department will seek funding for programs that work, and will seek to reform or eliminate programs that do not. The budget execution process will be linked to the Secretary's strategic plan to ensure that high priority activities are funded. The Department will have standard, integrated budgeting, performance, and accounting information systems at the program level that will provide timely feedback for management that will be consolidated at the agency and government levels.

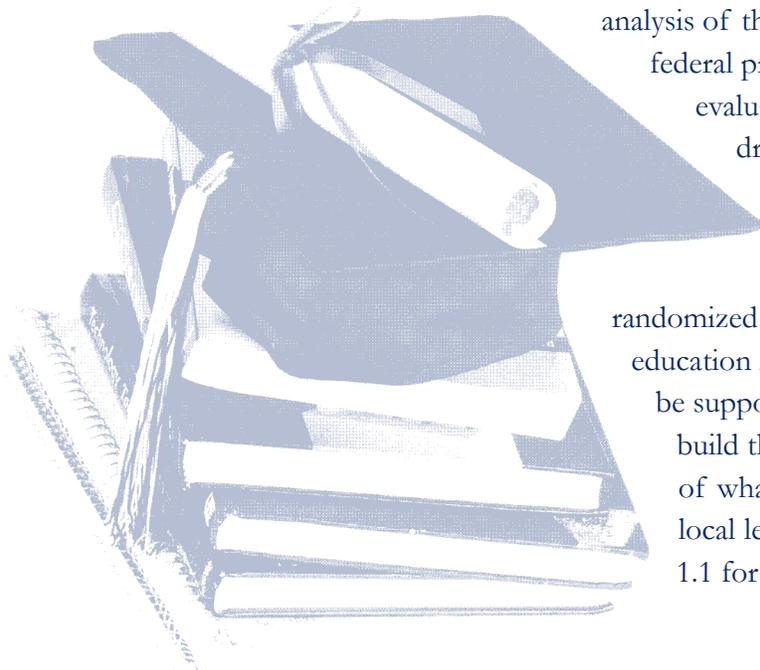
### Strategies for Objective 6.5

**Align budget and planning processes.** The Department will integrate its budget requests with annual GPRA reports and plans. The Department will support programs and activities that have demonstrated their effectiveness and that are aligned with the President's strategic priorities. Spending plans will be aligned with the implementation of the Strategic Plan.

**Track expenditures to strategic objectives.** The Department will ensure that full budgetary cost is charged to mission accounts and activities. The cost of outputs and programs will be integrated with performance in budget requests and execution. A cost accounting system will be developed.

**Document program effectiveness.** The Department will use several strategies to determine program effectiveness. The performance-based data management initiative will allow for the

collection of better data and stronger analysis of the impact of various federal programs. Program evaluation studies will be dramatically improved through the use of rigorous methods. Plus, randomized field trials of education interventions will be supported in order to build the knowledge base of what is working at the local level. (See Objective 1.1 for more on this topic.)



## Performance Measures for Objective 6.5

Objective 6.5 Budget and Performance Integration							
Performance Targets							
		'02	'03	'04	'05	'06	'07
Program Effectiveness	The percentage of Department programs that demonstrate effectiveness in terms of outcomes, either on performance indicators or through rigorous evaluations.	Base line + 5 PP	Base line + 10 PP	Base line + 20 PP	Base line + 30 PP	Base line + 40 PP	Base line + 50 PP
	The percentage of Department program dollars that are in programs that demonstrate effectiveness in terms of outcomes, either on performance indicators or through rigorous evaluations.	Base line + 10 PP	Base line + 20 PP	Base line + 30 PP	Base line + 40 PP	Base line + 50 PP	Base line + 60 PP

PP = Percentage Points  
The baseline year is FY 2001.

## Objective 6.6

Leverage the contributions of community- and faith-based organizations to increase the effectiveness of Department programs

America is richly blessed by the diversity and vigor of neighborhood heroes: civic, social, charitable and religious groups. These quiet champions lift people's lives in ways that are beyond government's know-how, usually on shoestring budgets, and they heal our nation's ills one heart and one act of kindness at a time. The indispensable and transforming work of charitable service groups— including faith-based groups—must be encouraged. These organizations bring the spirit of compassion, volunteerism and close connection to communities to their work. The Department will encourage their active participation in its programs.

### Strategies for Objective 6.6

**Provide technical assistance and outreach.** We will inform states and local and Tribal governments of the eligibility of community- and faith-based organizations for specific Department grants. We will offer technical assistance and launch outreach efforts to encourage community- and faith-based organizations to apply for funds.

**Remove barriers to the full participation of faith-based organizations.** We will publish grant announcements in non-traditional publications read by community- and faith-based organizations. The Department will clarify in grant announcements that faith-based organizations are eligible to apply provided that they meet all statutory and regulatory requirements.

**Implement novice applicant procedures.** The Department will provide increased technical assistance to novice applicants so that they can successfully administer new grants and leverage private dollars with federal funds.



## Performance Measures for Objective 6.6

Objective 6.6 Leverage Community- and Faith-Based Organizations							
		Performance Targets					
		'02	'03	'04	'05	'06	'07
Community and Faith-Based Organizations	The percentage of non-statutory barriers relating to technical assistance and outreach identified in the <i>Report on Findings</i> that are removed.	50	75	100	100	100	100
	The percentage of appropriate programs in which the novice applicant procedures are implemented.	25	50	75	100	100	100

# Objective 6.7

By becoming a high performance, customer-focused organization, earn the President's Quality Award

As a result of implementing the Blueprint for Management Excellence, the President's Management Agenda, the recommendations of the Culture of Accountability team and this Strategic Plan, the Department will be in a position to compete for and win the President's Quality Award.

## Performance Measure for Objective 6.7

Objective 6.7 President's Quality Award			
Measure	FY 2002	FY 2003	FY 2004
President's Quality Award	Put structure and process in place to apply for Award.	Apply for the Award and gain insight.	Apply for and win the Award.*

\* Agencies may not re-apply for five years after winning the award.